



## JOINT LEGISLATIVE COMMITTEE ON THE BUDGET

STATE CAPITOL  
P.O. BOX 44294, CAPITOL STATION  
BATON ROUGE, LOUISIANA 70804  
(225) 342-7244

REPRESENTATIVE CAMERON HENRY  
CHAIRMAN

SENATOR ERIC LAFLEUR  
VICE-CHAIRMAN

Thursday, February 22, 2018  
9:30 AM  
House Committee Room 5

### AGENDA

#### I. CALL TO ORDER

#### II. ROLL CALL

#### III. BUSINESS

1. Fiscal Status Statement and Five-Year Base-Line Budget
2. BA-7 Agenda
3. Facility Planning and Control - Capital Outlay Change Orders
4. Review and approval of a contract for insurance broker services between the Office of Risk Management and Arthur J. Gallagher Risk Management Services, Inc., as required by R.S. 39:1540(B)(2)
5. Review and approval of an amendment of a contract for third party administration for insurance claims services between the Office of Risk Management and Sedgwick Claims Management Services, Inc., as required by R.S. 39:1615(J)
6. Review and approval of Deputy Sheriffs Back Supplemental Pay in accordance with R.S. 40:1667.8
7. Discussion of contract extensions between the Louisiana Department of Health Office for Citizens with Developmental Disabilities and the following entities, in accordance with R.S. 39:1615(J):
  - A. Easter Seals Louisiana
  - B. Southeastern LA Area Health Education Center
  - C. First Steps Referral and Consulting, LLC
  - D. Families Helping Families at the Crossroads
8. Discussion of Grant Anticipation Revenue Vehicles (GARVEE) Bonds

#### IV. CONSIDERATION OF ANY OTHER BUSINESS THAT MAY COME BEFORE THE COMMITTEE

#### V. ADJOURNMENT

*THIS NOTICE CONTAINS A TENTATIVE AGENDA AND MAY BE REVISED PRIOR TO THE MEETING.*

**Representative Cameron Henry, Chairman**

JOINT LEGISLATIVE COMMITTEE ON THE BUDGET  
GENERAL FUND FISCAL STATUS STATEMENT  
FISCAL YEAR 2017-2018  
(\$ in millions)

February 22, 2018

	JAN 2018	FEB 2018	FEB 2018 Over/(Under) JAN 2018
<b><u>GENERAL FUND REVENUE</u></b>			
Revenue Estimating Conference, December 14, 2017	\$9,594.900	\$9,594.900	\$0.000
FY16-17 Revenue Carried Forward into FY 17-18	\$19.157	\$19.157	\$0.000
<b>Total Available General Fund Revenue</b>	<b>\$9,614.057</b>	<b>\$9,614.057</b>	<b>\$0.000</b>
<b><u>APPROPRIATIONS AND REQUIREMENTS</u></b>			
<b>Non-Appropriated Constitutional Requirements</b>			
Debt Service	\$416.183	\$416.183	\$0.000
Interim Emergency Board	\$1.721	\$1.721	\$0.000
Revenue Sharing	\$90.000	\$90.000	\$0.000
<b>Total Non-Appropriated Constitutional Requirements</b>	<b>\$507.904</b>	<b>\$507.904</b>	<b>\$0.000</b>
<b>Appropriations</b>			
General (Act 3 of 2017 2nd ELS)	\$8,737.948	\$8,737.948	\$0.000
Ancillary (Act 48 of 2017 RLS)	\$0.000	\$0.000	\$0.000
Judicial (Act 68 of 2017 RLS)	\$151.531	\$151.531	\$0.000
Legislative (Act 78 of 2017 RLS)	\$62.473	\$62.473	\$0.000
Capital Outlay (Act 4 of 2017 2nd ELS)	\$1.500	\$1.500	\$0.000
<b>Total Appropriations</b>	<b>\$8,953.452</b>	<b>\$8,953.452</b>	<b>\$0.000</b>
<b>Total Appropriations and Requirements</b>	<b>\$9,461.356</b>	<b>\$9,461.356</b>	<b>\$0.000</b>
<b>General Fund Revenue Less Appropriations and Requirements</b>	<b>\$152.702</b>	<b>\$152.702</b>	<b>\$0.000</b>



## II. FY 2016-2017 Fiscal Status Summary:

In accordance with Act 1092 of the 2001 Regular Session and Act 107 of the 2002 First Extraordinary Session R.S. 39:75 A.(3)(a) "At the first meeting of the Joint Legislative Committee on the Budget after publication of the Comprehensive Annual Financial Report for the state of Louisiana, the commissioner of administration shall certify to the committee the actual expenditures paid by warrant or transfer and the actual monies received and any monies or balances carried forward for any fund at the close of the previous fiscal year which shall be reflected in the budget status report."

### FY17 GENERAL FUND DIRECT SURPLUS/DEFICIT - ESTIMATED (millions)

FY16 Surplus/(Deficit) (313.815)

#### FY17 General Fund - Direct Revenues:

Actual General Fund Revenues	9,437.191	
Revenue Anticipation Notes (RANS) Proceeds	370.000	
FY17 Deficit #1 (JLCB Approved)	9.871	
FY17 Deficit #2 (JLCB & Legislature Approved)	46.000	
Budget Stabilization Fund - Z08	99.000	
General Fund - Direct Carryforwards from FY16 to FY17	18.560	
<b>Total FY17 General Fund - Direct Revenues</b>		<b>9,980.622</b>

#### FY17 General Fund - Direct Appropriations & Requirements:

Draws of General Fund - Direct Appropriations	(8,582.697)	
General Obligation Debt Service	(391.681)	
Revenue Anticipation Notes (RAN) - Payment	(370.000)	
Other Debt Service Costs - RAN Expenses	(2.377)	
Debt Service - Cost of Issuance	(0.804)	
Transfers to Revenue Sharing Fund - Z06	(90.000)	
Transfers Out to Various Funds - 20-XXX FY17 per Act 17 of 2016	(48.906)	
Transfer to Budget Stabilization Fund per Act 1 of 2017 Second Extraordinary Session	(25.000)	
Capital Outlay Project Closeout (075, 057, 055, 051)	(1.460)	
Other Transfers Out (318,782.64 (from 000) + 5,265,863.75 (from B15))	(5.585)	
<b>Total FY17 General Fund - Direct Appropriations &amp; Requirements</b>		<b>(9,518.511)</b>

#### General Fund Direct Cash Balance

General Fund - Direct Carryforwards to FY18	148.297
Statutorily Required Transfer of DPS Driver's License Fees	(19.157)
<b>Adjusted General Fund Revenues Less Appropriations &amp; Requirements for FY 2016-2017</b>	<b>122.620</b>

**Certification in accordance with R.S. 39:75A(3)(a) \$122,619,960**

## III. Current Year Items Requiring Action

Proclamation 104 JBE 2017 - State of Emergency - Tropical Storm Harvey	\$0.925
Estimated State Share (75%/25%) (Estimated Total Cost - \$3.70m)	
Proclamations 126 JBE 2017 - State of Emergency - Tropical Storm Nate	\$0.397
Estimated State Share (75%/25%) (Estimated Total Cost - \$1.59m)	
Emergency Management Assistance Compact (EMAC) Estimated Total Expenses - \$20.57m	\$0.000
(100% reimbursable from Texas (Hurricane Harvey) via GOHSEP - \$14.91m)	
(100% reimbursable from Florida (Hurricane Irma) via GOHSEP - \$2.92m)	
(100% reimbursable from Puerto Rico (Hurricane Maria) via GOHSEP - \$2.75m)	
<b>TOTAL EXPENDITURES</b>	<b>\$1.322</b>

## IV. Horizon Issues Not Contained in 5-Year Plan

State share owed to FEMA upon the final closeout of various disasters, including Hurricane Katrina, for public assistance (state, local, and private non-profits) and hazard mitigation projects. Final closeouts of the various disasters are not expected until FY20 at the earliest but could extend beyond the 5-year baseline projection window.

# FIVE YEAR BASE LINE PROJECTION STATE GENERAL FUND SUMMARY CONTINUATION

	Current Fiscal Year 2017-2018	Ensuing Fiscal Year 2018-2019	Projected Fiscal Year 2019-2020	Projected Fiscal Year 2020-2021	Projected Fiscal Year 2021-2022
<b>REVENUES:</b>					
Taxes, Licenses & Fees	\$12,110,200,000	\$11,112,200,000	\$11,293,700,000	\$11,422,600,000	\$11,663,700,000
Less Dedications	(\$2,515,300,000)	(\$2,510,900,000)	(\$2,537,300,000)	(\$2,560,100,000)	(\$2,582,000,000)
Carry Forward Balances	\$19,157,479	\$0	\$0	\$0	\$0
<b>TOTAL REVENUES</b>	<b>\$9,614,057,479</b>	<b>\$8,601,300,000</b>	<b>\$8,756,400,000</b>	<b>\$8,862,500,000</b>	<b>\$9,081,700,000</b>
<b>ANNUAL GROWTH RATE</b>		<b>-10.36%</b>	<b>1.80%</b>	<b>1.21%</b>	<b>2.47%</b>
<b>EXPENDITURES:</b>					
General Appropriation Bill (Act 3 of 2017 2nd ELS)	\$8,737,948,098	\$9,460,542,994	\$9,639,137,629	\$9,921,405,577	\$10,199,357,323
Ancillary Appropriation Bill (Act 48 of 2017 RLS)	\$0	\$0	\$8,660,815	\$17,754,671	\$27,303,219
Non-Appropriated Requirements	\$507,903,581	\$520,371,375	\$520,371,375	\$520,371,375	\$520,371,375
Judicial Appropriation Bill (Act 68 of 2017 RLS)	\$151,530,944	\$151,530,944	\$151,586,200	\$151,586,197	\$151,586,194
Legislative Appropriation Bill (Act 78 of 2017 RLS)	\$62,472,956	\$62,472,956	\$62,550,721	\$62,550,655	\$62,550,595
Special Acts	\$0	\$0	\$6,049,204	\$6,049,204	\$6,049,204
Capital Outlay Bill (Act 4 of 2017 2nd ELS)	\$1,500,000	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$9,461,355,579</b>	<b>\$10,194,918,269</b>	<b>\$10,388,355,944</b>	<b>\$10,679,717,679</b>	<b>\$10,967,217,910</b>
<b>ANNUAL GROWTH RATE</b>		<b>7.75%</b>	<b>1.90%</b>	<b>2.80%</b>	<b>2.69%</b>
<b>PROJECTED BALANCE</b>	<b>\$152,701,900</b>	<b>(\$1,593,618,269)</b>	<b>(\$1,631,955,944)</b>	<b>(\$1,817,217,679)</b>	<b>(\$1,885,517,910)</b>
Six-Year Reauthorization of Children's Health Insurance Program (CHIP) - January 22, 2018	\$0	(\$111,387,286)	(\$111,387,286)	(\$111,387,286)	(\$111,387,286)
<b>ADJUSTED PROJECTED BALANCE</b>	<b>\$152,701,900</b>	<b>(\$1,482,230,983)</b>	<b>(\$1,520,568,658)</b>	<b>(\$1,705,830,393)</b>	<b>(\$1,774,130,624)</b>

Oil Prices included in the REC official forecast	\$51.78	\$54.31	\$54.06	\$54.03	\$54.52
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NOTE: The adjusted annual growth rate (due to reauthorization of CHIP)	6.58%	1.92%	2.84%	2.72%
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February, 2018 - **REVISED**



John D. Carpenter  
Legislative Fiscal Officer

**STATE OF LOUISIANA**  
LEGISLATIVE FISCAL OFFICE  
**BATON ROUGE**

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To: The Honorable Representative Cameron Henry, Chairman  
Joint Legislative Committee on the Budget  
The Honorable Members of the Joint Legislative Committee on the Budget

From: John D. Carpenter, Legislative Fiscal Officer  
Evan Brasseaux, LFO Staff Director

Date: February 15, 2018

Subject: Joint Legislative Committee on the Budget  
February 22nd Meeting

Attached are the Legislative Fiscal Office BA-7 (Budget Adjustment) write-ups for the February meeting of the Joint Legislative Committee on the Budget. The LFO recommends approval of all BA-7 's.

Please contact me if you have questions or need additional information.

# LEGISLATIVE FISCAL OFFICE ANALYSIS OF BA-7 REQUEST

**DEPARTMENT:** Agriculture & Forestry

**AGENDA NO.:** 1

**AGENCY:** Agriculture & Forestry

**ANALYST:** Ryan Guidry

<u>Means of Financing</u>		<u>Expenditures by Program</u>		<u>T. O.</u>
State General Fund:	\$0	Management & Finance	\$30,000	0
Interagency Transfers:	\$0	Agricultural & Environmental Sciences	\$977,312	0
Self-Generated Revenue:	\$0	Animal Health & Food Safety	\$317,969	0
Statutory Dedications:	\$1,325,281	Agro-Consumer Services	\$0	0
Federal Funds:	\$0	Auxiliary Account	\$0	0
		Soil & Water Conservation	\$0	0
<b>Total</b>	<b><u>\$1,325,281</u></b>	<b>Total</b>	<b><u>\$1,325,281</u></b>	<b><u>0</u></b>

## I. SUMMARY/COMMENTS

The purpose of this BA-7 request is to increase Statutory Dedications expenditure authority in the Department of Agriculture & Forestry (LDAF) to expend prior year fund balances that were recognized by the Revenue Estimating Conference (REC) on 12/14/2017. The table below summarizes the requested distribution of the specific Statutory Dedications between programs.

	<u>Structural Pest Control Commission Fund</u>	<u>Feed &amp; Fertilizer Fund</u>	<u>Program Totals</u>
Office of Management & Finance	\$30,000	\$0	\$30,000
Agriculture & Environmental Science	\$538,211	\$439,101	\$977,312
Animal Health & Food Safety	\$0	\$317,969	\$317,969
Fund Totals	<u>\$568,211</u>	<u>\$757,070</u>	<u>\$1,325,281</u>

These fund balances were generated in prior fiscal years by an increase in the number of inspections performed for pesticides, feed, and fertilizer. Additionally, LDAF increased the fee for standard and wood destroying inspect reports as authorized by Act 201 of the 2015 Regular Session.

The requested fund balances will be expended in three programs. From the Structural Pest Control Commission Fund, \$30,000 will be expended in the Office of Management and Finance program on supplies for support services associated with the Structural Pest Control Commission. From the Feed & Fertilizer Fund, \$317,969 will be expended in the Animal Health & Food Safety Program for costs associated with the increased inspections of feed. The remaining fund balances (\$977,312) will be expended in the Agricultural & Environmental Sciences Program on replacement of outdated testing equipment and software for training, testing, certification, and reporting for inspectors and licensees.

## II. IMPACT ON FUTURE FISCAL YEARS

Approval of this BA-7 request will have no impact on future fiscal years.

## III. LEGISLATIVE FISCAL OFFICE RECOMMENDATION

The Legislative Fiscal Office recommends approval of this BA-7 request.

**LEGISLATIVE FISCAL OFFICE  
ANALYSIS OF BA-7 REQUEST**

**DEPARTMENT:** Culture, Recreation & Tourism

**AGENDA NO.:** 2

**AGENCY:** Cultural Development

**ANALYST:** Monique Appeaning

<u>Means of Financing</u>		<u>Expenditures by Program</u>		<u>T. O.</u>
State General Fund:	\$0	Cultural Development	\$326,552	0
Interagency Transfers:	\$0	Arts	\$0	0
Self-Generated Revenue:	\$326,552	Administrative	\$0	0
Statutory Dedications:	\$0			
Federal Funds:	\$0			
<b>Total</b>	<b><u>\$326,552</u></b>	<b>Total</b>	<b><u>\$326,552</u></b>	<b><u>0</u></b>

**I. SUMMARY/COMMENTS**

The purpose of this BA-7 request is to increase the SGR authority by \$326,552 in the Office of Cultural Development Program. The funds will be used for expenditures associated with the customer/project database maintenance, additional user licenses, software upgrades, staff training, site visits, fleet maintenance, service maintenance, and other miscellaneous operating costs. This funding will also be used to fund job appointments (other charges) and replace one computer.

The SGR revenue sources are from the following:

\$60,000 is based on a fee charged by the LA Division of Archaeology (LDA) for online access to its database. Private entities and federal agencies that choose to use the service will remit payment in accordance with the LA Administrative Code. The fee is \$1,300 per state fiscal year for each public or private entity with one or more professional archaeologists on staff or an individual professional archaeologist who will use online access. There are an estimated 50 online access requests to be processed in the current fiscal year. The current budget authority allocated for LDA is \$5,000; therefore, this BA-7 request is asking for an additional \$60,000 to bring the authority level to \$65,000.

\$266,552 is based on a fee charged by the LA Division of Historic (LDHP) Preservation to process applications related to the rehabilitation of historic structures. Commercial and residential property owners claiming a tax credit for rehabilitation costs must be reviewed by LDHP to ensure that costs are eligible and in accordance with the U.S. Department of the Interior's standards. An estimated additional 248 rehabilitation applications are projected to be processed that will generate additional revenue. The fee structure is based on a graduated scale from \$250 to \$5,000 per application for qualified rehabilitation expenditures (QREs) for repairs.

The expenditures are for the following:

\$13,000 is for travel costs associated with site visits, training, and hosting a conference. Staff travel on a weekly basis to visit sites undergoing tax credit-related rehabilitation. Historic property owners and contractors frequently need technical assistance throughout the construction process to ensure that the property is eligible and that building renovations are in accordance with the U.S. Department of the Interior's standards. Another cost is for technical training and for hosting the tax credit portion of a LDHP conference.

\$55,000 is for operating services to cover software and database maintenance, annual license fees (customer/project database costs, user licenses, system upgrades, and server maintenance), with a small allocation to vehicle repairs/maintenance (fleet maintenance).

\$6,000 is for supplies to purchase folders, toner, and fuel. Color toner is needed to print photos and maps, and fuel is needed for state vehicles for site visits.

\$244,052 is for other charges to cover salaries and related benefits for three positions for 6 months for a combined total of \$98,758 (Architectural Historian 2, Admin Coordinator 4, and an Archaeologist). The remaining funds are included for costs associated with consolidating three databases into a single new database (\$125,000), contract costs for scanning old files into the consolidated system (\$3,198) and a vehicle replacement (\$17,096).

## **LEGISLATIVE FISCAL OFFICE ANALYSIS OF BA-7 REQUEST**

\$1,500 is for acquisitions to replace a computer and monitor that is beyond its 5-year useful life.

\$7,000 is for interagency transfers to cover services provided by the Office of State Printing for the reproduction of printed material, and the Office of Telecommunications Management for telephone fees.

### **II. IMPACT ON FUTURE FISCAL YEARS**

This is an anticipated recurring revenue stream and expenditures will likely continue in future fiscal years. However, the purchase of the vehicle and consolidating three databases into a single new database are one-time expenditures.

### **III. LEGISLATIVE FISCAL OFFICE RECOMMENDATION**

The Legislative Fiscal Office recommends approval of this BA-7 request.

**LEGISLATIVE FISCAL OFFICE  
ANALYSIS OF BA-7 REQUEST**

**DEPARTMENT:** Environmental Quality

**AGENDA NO.:** 3

**AGENCY:** Environmental Quality

**ANALYST:** Colleen Gil

<u>Means of Financing</u>		<u>Expenditures by Program</u>		<u>T. O.</u>
State General Fund:	\$0	Office of the Secretary	\$0	0
Interagency Transfers:	\$0	Environmental Compliance	\$0	0
Self-Generated Revenue:	\$0	Environmental Services	\$0	0
Statutory Dedications:	\$1,824,527	Management & Finance	\$1,824,527	0
Federal Funds:	\$0	Environmental Assessment	\$0	0
<b>Total</b>	<b><u>\$1,824,527</u></b>	<b>Total</b>	<b><u>\$1,824,527</u></b>	<b><u>0</u></b>

**I. SUMMARY/COMMENTS**

The purpose of this BA-7 request is to increase the budget authority for the Department of Environmental Quality (DEQ) by \$1,824,527 out of the statutorily dedicated Waste Tire Management Fund.

The total request of \$1,824,527 encompasses \$580,768 as a result of an increased REC forecast adopted in December 2017 as well as the \$1.24 M fund balance from FY 17. This would increase the total FY 18 budget authority to \$13,259,759.

In FY 17 the department spent all of their budget authority, but due to the REC forecast being lower than actual collections DEQ was not able to fully spend cash on hand to pay remaining FY 17 obligations and had to pay those obligations in FY 18.

Historically, requests for processor payments and program expenditures exceed actual revenue collections of the program.

**II. IMPACT ON FUTURE FISCAL YEARS**

Approval of this BA-7 request will have no impact on future fiscal years.

**III. LEGISLATIVE FISCAL OFFICE RECOMMENDATION**

The Legislative Fiscal Office recommends approval of this BA-7 request.



# LEGISLATIVE FISCAL OFFICE ANALYSIS OF BA-7 REQUEST

**DEPARTMENT:** Executive

**AGENDA NO.:** 5

**AGENCY:** Homeland Security & Emergency Prep

**ANALYST:** Alan M. Boxberger

<u>Means of Financing</u>		<u>Expenditures by Program</u>		<u>T. O.</u>
State General Fund:	\$0	Administrative	\$23,064,113	0
Interagency Transfers:	\$0			
Self-Generated Revenue:	\$23,064,113			
Statutory Dedications:	\$0			
Federal Funds:	\$0			
<b>Total</b>	<b><u>\$23,064,113</u></b>	<b>Total</b>	<b><u>\$23,064,113</u></b>	<b><u>0</u></b>

## I. SUMMARY/COMMENTS

The purpose of this BA-7 request is to increase SGR budget authority in the Governor's Office of Homeland Security & Emergency Preparedness (GOHSEP) to receive reimbursements from the states of Texas, Georgia, and Florida, as well as the U.S. Virgin Islands and Puerto Rico to cover expenses incurred by activation of LA's Emergency Assistance Compact (EMAC) when providing assistance during Hurricane Harvey (August through September, 2017), Hurricane Irma (September, 2017), and Hurricane Maria (September, 2017, through January, 2018). This BA-7 will increase GOHSEP's SGR authority to provide sufficient budget resources to receive reimbursements for expenditures realized by multiple state and local governmental entities for responses during multiple disaster declarations as noted.

EMAC is an all hazards - all disciplines mutual aid compact that serves as the cornerstone of the nation's mutual aid system. EMAC is a national disaster-relief compact ratified by the U.S. Congress and signed into law in 1996 (Public Law 104-321). Through EMAC, 50 states, the District of Columbia, Puerto Rico, Guam, and the U.S. Virgin Islands have enacted legislation to become EMAC members. EMAC offers assistance during governor-declared states of emergency or disaster through a responsive, straightforward system that allows states to send personnel, equipment, and commodities to assist with response and recovery efforts in other states.

This BA-7 increases authority in the Other Charges expenditure category associated with activation of the EMAC as detailed below.

Hurricane Harvey response:

- GOHSEP - \$56,824 (deployment of 2 EMAC A-Team members, GOHSEP Forward Command Post in Orange, TX; deployment of liaisons to TX Emergency Operations Center; deployment of planning officer)
- LA Dept of Wildlife & Fisheries - \$800,309 (deployment of search and rescue teams and equipment)
- LA State Fire Marshal - \$3,898,470 (provide local law enforcement and security operations; conduct swift, surface and flood water rescues; conduct urban search, rescue and recovery operations; conduct emergency assessment of structures for safety and reentry in Port Arthur, TX)
- LA Dept of Agriculture & Forestry - \$1,974,906 (provide fuel and fuel dispensers for search and rescue efforts and for transportation of evacuees; pet sheltering operations)
- LA Dept of Military - \$744,127 (conduct search and rescue operation, sheltering, communications, transportation, logistics, command and control support and other support missions; air medical supply movement and search and rescue for Port Arthur/Beaumont, TX)
- LA Dept of Corrections - \$179,378 (deployment of search and rescue teams and equipment)
- Statewide (DCFS, LWC, DOTD, LSP, LDH, Calcasieu Parish Police Jury, Rapides Parish Police Jury) - \$7,254,929 (state shelter and medical special needs shelter in Alexandria, LA; state shelter in Shreveport, LA)
- LA Sheriff's Association - \$491,608 (deployment of law enforcement support to backfill local Texas departments)
- Local Parishes (Ascension, St. James, St. Mary) - \$235,921 (deployment of search and rescue teams and equipment to San Jacinto County, TX)

Hurricane Irma response (Florida, Georgia, U.S. Virgin Islands):

## **LEGISLATIVE FISCAL OFFICE ANALYSIS OF BA-7 REQUEST**

- GOHSEP - \$104,827 (deployment of EMAC A-Team members, deployment of public assistance team)
- LA Dept of Health - \$972,365 (provide nurses and ancillary staff for shelter locations and Florida)
- LA Dept of Wildlife & Fisheries - \$991,163 (deployment of water search and rescue teams and equipment)
- LA State Fire Marshal - \$737,112 (deployment of urban search and rescue personnel and equipment; deployment of Incident Management Team personnel; conduct swift water rescues)
- LA Dept of Military - \$123,442 (deployment of one engineer to provide mission command and coordination of repair, maintenance and construction of air/ground lines of communication, emplacement of culverts, force protection, and clearing operations)

Hurricane Maria response (U.S. Virgin Islands/Puerto Rico):

- GOHSEP/LA Dept of Military - \$413,842 (deployment of EMAC A-TEAM member; provide housing strike team to assist with planning and development of housing solutions for displaced citizens)
- LA Dept of Health - \$1,574,984 (provide nurses and physicians to support shelter operations; deploy pharmacist and liaison)
- LA Dept of Military - \$2,380,711 (provide horizontal engineer capability and water assets for hydration support in impacted areas; provide wide area security and military police)
- New Orleans Fire - \$129,195 (deployment of 10-person incident management team)

### **II. IMPACT ON FUTURE FISCAL YEARS**

Approval of this BA-7 request will have no impact on future fiscal years.

### **III. LEGISLATIVE FISCAL OFFICE RECOMMENDATION**

The Legislative Fiscal Office recommends approval of this BA-7 request.

**LEGISLATIVE FISCAL OFFICE  
ANALYSIS OF BA-7 REQUEST**

**DEPARTMENT:** Executive

**AGENDA NO.:** 6

**AGENCY:** Department of Military Affairs

**ANALYST:** Ryan Guidry

<u>Means of Financing</u>		<u>Expenditures by Program</u>		<u>T. O.</u>
State General Fund:	\$0	Military Affairs	\$54,670	2
Interagency Transfers:	\$0	Education	\$0	0
Self-Generated Revenue:	\$0	Auxiliary Account	\$0	0
Statutory Dedications:	\$0			
Federal Funds:	\$54,670			
<b>Total</b>	<b><u>\$54,670</u></b>	<b>Total</b>	<b><u>\$54,670</u></b>	<b><u>2</u></b>

**I. SUMMARY/COMMENTS**

The purpose of this BA-7 request is to increase federal budget authority and add two (2) T.O. positions in the Military Affairs Program for a Visitor Control Center (VCC).

The department has received additional federal funding through the Army National Guard (ARNG) Security Guard Activities cooperative agreement to implement a VCC. The VCC will be located at Camp Beauregard and require two additional T.O. for a VCC Coordinator and a VCC Clerk. The VCC will be responsible for screening and vetting all personnel and contractors entering installations and armories statewide in accordance with Army regulations and instructions, and the VCC will have access to the National Crime Information Center (NCIC) database to perform control checks on all personnel that have not been previously vetted.

The department will expend \$41,002 on salaries and related benefits for the two positions, and \$13,668 for computer and furniture acquisitions to stand up the VCC. The department will receive federal reimbursement for all of these expenditures.

**II. IMPACT ON FUTURE FISCAL YEARS**

Approval of this BA-7 request will result in the need add two (2) T.O. and to annualize the federal authority to a total \$120,000 in FY 19 and beyond by legislative instrument during the 2018 Regular Session.

**III. LEGISLATIVE FISCAL OFFICE RECOMMENDATION**

The Legislative Fiscal Office recommends approval of this BA-7 request.

**LEGISLATIVE FISCAL OFFICE  
ANALYSIS OF BA-7 REQUEST**

**DEPARTMENT:** Executive

**AGENDA NO.:** 7

**AGENCY:** Department of Military Affairs

**ANALYST:** Ryan Guidry

<u>Means of Financing</u>		<u>Expenditures by Program</u>		<u>T. O.</u>
State General Fund:	\$0	Military Affairs	\$124,948	0
Interagency Transfers:	\$0	Education	\$0	0
Self-Generated Revenue:	\$124,948	Auxiliary Account	\$0	0
Statutory Dedications:	\$0			
Federal Funds:	\$0			
<b>Total</b>	<b><u>\$124,948</u></b>	<b>Total</b>	<b><u>\$124,948</u></b>	<b><u>0</u></b>

**I. SUMMARY/COMMENTS**

The purpose of this BA-7 request is to increase SGR budget authority in the Military Affairs Program in order to receive reimbursement from the Sewerage & Water Board of New Orleans for expenditures incurred in response to declared disaster 95 JBE 2017.

Following the declaration of a state of emergency by the governor following the flash flooding on 8/10/2017, the Department of Military Affairs entered into a cooperative endeavor agreement with the Sewerage and Water Board of New Orleans to provide support beginning 8/21/2017, through the end of hurricane season on 11/30/2017. The department provided two individuals, one (1) state employee and one (1) LA National Guardsman on state active duty, to provide procurement, contracting and logistical support. Additionally, the department provided seventeen (17) LA National Guardsmen on state active duty from August 24-31 and October 6-8 to assist with manning the pumping stations, ensuring continuity of operations, and providing reports to the Interim Emergency Management and Support team.

The department incurred \$124,948 of expenditures through 11/30/2017, and an invoice has been sent to the Sewerage & Water Board of New Orleans for reimbursement of these expenditures. This BA-7 request will provide the department the budget authority needed to receive this reimbursement.

**II. IMPACT ON FUTURE FISCAL YEARS**

Approval of this BA-7 request will have no impact on future fiscal years.

**III. LEGISLATIVE FISCAL OFFICE RECOMMENDATION**

The Legislative Fiscal Office recommends approval of this BA-7 request.

**LEGISLATIVE FISCAL OFFICE  
ANALYSIS OF BA-7 REQUEST**

**DEPARTMENT:** Health

**AGENDA NO.:** 8

**AGENCY:** LA Emergency Response Network Board

**ANALYST:** Tanesha Morgan

<u>Means of Financing</u>		<u>Expenditures by Program</u>		<u>T. O.</u>
State General Fund:	\$0	LA Emergency Response Network Board	\$10,282	0
Interagency Transfers:	\$0			
Self-Generated Revenue:	\$9,000			
Statutory Dedications:	\$1,282			
Federal Funds:	\$0			
<b>Total</b>	<b><u>\$10,282</u></b>	<b>Total</b>	<b><u>\$10,282</u></b>	<b><u>0</u></b>

**I. SUMMARY/COMMENTS**

The purpose of this BA-7 request is to increase the LA Emergency Response Network's (LERN) budget by \$1,282 in Statutory Dedications from the LA Emergency Response Network Fund and \$9,000 in fees and self-generated revenue. The SGR is from a one year grant awarded by the Living Well Foundation, a nonprofit organization in Ouachita Parish, (\$8,000) and a private donation (\$1,000). The funds in the LA Emergency Response Network Fund represent the remaining balance of SGF that was transferred into the fund per Act 12 of 2015.

The funds will be used to buy supplies for the "Stop the Bleed" training initiative, which is a federal initiative to encourage bystanders of an emergency to become trained to help in bleeding situations. The agency will host educational seminars to train "Stop the Bleed" instructors. Training will be held at 5 schools in Ouachita Parish. The agency has funds in its existing budget to cover personnel and travel expenses associated with providing training. The funds in this BA-7 will be used to purchase supplies that will be used in the training as well as distributed to the 5 schools.

The funds will be used for the following supplies:

Hemorrhage Control Training Kits (4 @ \$950 each)	\$3,8000
Quick Clot Bleeding Control Stations (7 @ @\$800 each)	\$5,6000
Personal Bleeding Control Kits (7 @ \$70 each)	\$490
Shipping Costs	<u>\$392</u>
Total Supplies	\$10,282

**II. IMPACT ON FUTURE FISCAL YEARS**

The Living Well Foundation grant began 1/1/2018 continues through 12/31/2018. This BA-7 provides budget authority for the first 6 months of the grant period in the amount of \$8,000, but the full grant award totals \$13,853. To provide authorization for the continuation of this grant through the entire award period, LERN will require SGR budget authority of \$5,853 in FY 19.

**III. LEGISLATIVE FISCAL OFFICE RECOMMENDATION**

The Legislative Fiscal Office recommends approval of this BA-7 request.

**LEGISLATIVE FISCAL OFFICE  
ANALYSIS OF BA-7 REQUEST**

**DEPARTMENT:** Revenue

**AGENDA NO.:** 9

**AGENCY:** Office of Revenue

**ANALYST:** Benjamin Vincent

<u>Means of Financing</u>		<u>Expenditures by Program</u>		<u>T. O.</u>
State General Fund:	\$0	Tax Collection	\$5,599,121	0
Interagency Transfers:	\$0	Alcohol & Tobacco Control	\$2,648,408	0
Self-Generated Revenue:	\$8,747,529	Charitable Gaming	\$500,000	0
Statutory Dedications:	\$0			
Federal Funds:	\$0			
<b>Total</b>	<b><u>\$8,747,529</u></b>	<b>Total</b>	<b><u>\$8,747,529</u></b>	<b><u>0</u></b>

**I. SUMMARY/COMMENTS**

The purpose of this BA-7 request is to increase SGR budget authority within the Tax Collection, Alcohol & Tobacco Control, and Charitable Gaming programs. The SGR funds are generated by delinquent penalty and interest fees, and licensing and permit fees.

The requested authority is for technology systems, software licensing and maintenance, hardware replacement, and the LaSalle building remodel for enhanced security. The increases in budget authority by program, as well as the corresponding expenditures, are outlined below.

Tax Collections - \$5,599,121

- 1) LaSalle Building Remodel (\$788,800) - Various building modifications for employee security and to accommodate more walk-in clients. Includes reception area cubicles, bulletproof glass, cameras, chairs, desks, and wall and millwork modification.
- 2) Office of Debt Recovery replacement software system (\$1,750,000) - Current system has limited functionality and is unable to fully meet needs of the agency; it is only able to store records. Replacement system adds basic data processing and accounting capability.
- 3) GenTax Software Licensing Support (\$1,357,803) - Increases the DELTA system licensing and maintenance for support services that keep the software current and operational. Increase based on a set contract price.
- 4) SANS for Datacenter (2) (\$1,094,618) - Replaces current storage area networks that are near end of life and will no longer be supported by the vendor.
- 5) Lease of desktops and laptops (\$413,100) - Equipment refresh for laptops older than 4 years and PCs older than 5 years. Replaces equipment utilizing a 4-year lease with fixed monthly costs.
- 6) Ancillary Database upgrades (\$99,000)
- 7) Economic Model licensing and maintenance (\$49,000) - Increases the usage allowed of the current economic modeling software, allowing LDR personnel to simulate changes in various types of tax and incentives and analyze outputs.
- 8) Microsoft Licensing (\$45,000) - Annual license increase based on historical price increases and expected additional product usage.
- 9) Human Resources electronic records storage (\$1,800) - Converts current microfiche storage of LDR employee personnel files to electronic storage.

Alcohol & Tobacco Control - \$2,648,408

- 1) Licensing and Enforcement system application (\$2,531,704) - Replaces current Licensing and Enforcement application that operates without documentation or support and integrates extensive third-party software. New application eliminates most or all third-party software, and allows for support.
- 2) Lease of desktops and laptops, support services (\$116,704) - Leasing of computers and service hour charges for current support of equipment and systems.

Charitable Gaming - \$500,000

- 3) Bingo, Licensing, Accounting, and Inventory Reporting (BLAIR) System (\$500,000) - Replaces aging BLAIR monitoring system due to current limitations and age of software coding.

## LEGISLATIVE FISCAL OFFICE ANALYSIS OF BA-7 REQUEST

### II. IMPACT ON FUTURE FISCAL YEARS

The appropriations bill gives the Department of Revenue authority to retain unappropriated SGR from late payment/delinquent fees and negligence fees from one fiscal year to the next. Appropriation and expenditure of an additional \$8,747,529 for this request will decrease the SGR available for appropriation in future fiscal years. In the current year (FY 18), the Office of Revenue carried forward approximately \$43.9 M in excess collections from prior fiscal years due to higher than expected self-generated revenues from late payment/delinquent fees and negligence fees.

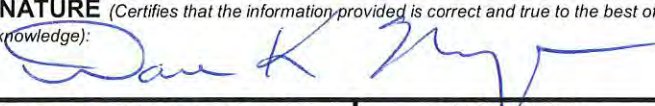
LDR will require additional SGR appropriation from this source in FY 19 and beyond due to recurring expenditures related to lease of desktops, laptops, and ongoing I.T. service support agreements (\$116,704 in all years). Other recurring expenditures related to items in this BA-7 were already included in the Executive Budget.

### III. LEGISLATIVE FISCAL OFFICE RECOMMENDATION

The Legislative Fiscal Office recommends approval of this BA-7 request. However, the LFO recognizes that many or all of these expenses could be considered during the Regular Legislative Session in either a supplemental or the General Appropriation Bill.



**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

<b>DEPARTMENT: AGRICULTURE AND FORESTRY</b>		<b>FOR OPB USE ONLY</b>				
<b>AGENCY: AGRICULTURE AND FORESTRY</b>		OPB LOG NUMBER <b>184</b>		AGENDA NUMBER <b>1</b>		
<b>SCHEDULE NUMBER: 04-160</b>		Approval and Authority:				
<b>SUBMISSION DATE: December 19, 2017</b>						
<b>AGENCY BA-7 NUMBER: 01</b>						
<b>HEAD OF BUDGET UNIT: DANE MORGAN</b>						
<b>TITLE: ASSISTANT COMMISSIONER FOR M&amp;F</b>						
<b>SIGNATURE</b> (Certifies that the information provided is correct and true to the best of your knowledge): 						
<b>MEANS OF FINANCING</b>	<b>CURRENT FY 2017-2018</b>	<b>ADJUSTMENT (+) or (-)</b>	<b>REVISED FY 2017-2018</b>			
<b>GENERAL FUND BY:</b>						
DIRECT	\$25,275,042	\$0	\$25,275,042			
INTERAGENCY TRANSFERS	\$686,125	\$0	\$686,125			
FEES & SELF-GENERATED	\$7,029,476	\$0	\$7,029,476			
STATUTORY DEDICATIONS	\$34,115,006	\$1,325,281	\$35,440,287			
Structural Pest Control Commission Fund (A02)	\$1,157,795	\$568,211	\$1,726,006			
Louisiana Agricultural Finance Authority Fund (A07)	\$12,000,919	\$0	\$12,000,919			
Subtotal of Dedications from Page 2	\$20,956,292	\$757,070	\$21,713,362			
FEDERAL	\$10,584,973	\$0	\$10,584,973			
<b>TOTAL</b>	<b>\$77,690,622</b>	<b>\$1,325,281</b>	<b>\$79,015,903</b>			
AUTHORIZED POSITIONS	563	0	563			
AUTHORIZED OTHER CHARGES	27 18	0	27 18			
NON-TO FTE POSITIONS	42 62	0	42 62			
<b>TOTAL POSITIONS</b>	<b>632 643</b>	<b>0</b>	<b>632 643</b>			
<b>PROGRAM EXPENDITURES</b>	<b>DOLLARS</b>	<b>POS</b>	<b>DOLLARS</b>	<b>POS</b>	<b>DOLLARS</b>	<b>POS</b>
<b>PROGRAM NAME:</b>						
MANAGEMENT & FINANCE	\$19,439,542	119 105	\$30,000	0	\$19,469,542	119 105
AG AND ENV SCIENCES	\$19,339,150	127 103	\$977,312	0	\$20,316,462	127 103
ANIMAL HEALTH & FOOD SAFETY	\$13,900,084	122 105	\$317,969	0	\$14,218,053	122 105
AGRO-CONSUMER SERVICES	\$7,877,126	84 75	\$0	0	\$7,877,126	84 75
FORESTRY	\$15,687,150	172 167	\$0	0	\$15,687,150	172 167
SOIL & WATER	\$1,447,570	8	\$0	0	\$1,447,570	8
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
Subtotal of programs from Page 2:	\$0	0	\$0	0	\$0	0
<b>TOTAL</b>	<b>\$77,690,622</b>	<b>632 563</b>	<b>\$1,325,281</b>	<b>0</b>	<b>\$79,015,903</b>	<b>632 563</b>



**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

<b>DEPARTMENT: AGRICULTURE AND FORESTRY</b>	<b>FOR OPB USE ONLY</b>	
<b>AGENCY: AGRICULTURE AND FORESTRY</b>	OPB LOG NUMBER	AGENDA NUMBER
<b>SCHEDULE NUMBER: 04-160</b>		
<b>SUBMISSION DATE: December 19, 2017</b>	<b>ADDENDUM TO PAGE 1</b>	
<b>AGENCY BA-7 NUMBER: 01</b>		

Use this section for additional Statutory Dedications, if needed.

The subtotal will automatically be transferred to Page 1.

MEANS OF FINANCING	CURRENT FY 2017-2018	ADJUSTMENT (+) or (-)	REVISED FY 2017-2018
<b>GENERAL FUND BY:</b>			
<b>STATUTORY DEDICATIONS</b>			
Pesticide Fund (A09)	\$5,293,249	\$0	\$5,293,249
Forest Protection Fund (A11)	\$806,606	\$0	\$806,606
Boll Weevil Eradication Fund (A12)	\$100,000	\$0	\$100,000
Forestry Productivity Fund (A14)	\$333,333	\$0	\$333,333
Petroleum Products Fund (A15)	\$4,600,000	\$0	\$4,600,000
Livestock Brand Commission Fund (A17)	\$10,000	\$0	\$10,000
Agricultural Commodity Dealers & Warehouse Fund (A18)	\$2,277,455	\$0	\$2,277,455
Seed Commission Fund (A21)	\$807,008	\$0	\$807,008
Sweet Potato Pests & Diseases Fund (A22)	\$200,000	\$0	\$200,000
Weights and Measures Fund (A23)	\$2,228,776	\$0	\$2,228,776
Feed and Fertilizer Fund (A29)	\$1,749,865	\$757,070	\$2,506,935
Horticulture and Quarantine Fund (A30)	\$2,550,000	\$0	\$2,550,000
<b>SUBTOTAL (to Page 1)</b>	<b>\$20,956,292</b>	<b>\$757,070</b>	<b>\$21,713,362</b>

Use this section for additional Program Names, if needed.

The subtotal will automatically be transferred to Page 1.

PROGRAM EXPENDITURES	DOLLARS	POS	DOLLARS	POS	DOLLARS	POS
<b>PROGRAM NAME:</b>						
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
<b>SUBTOTAL (to Page 1)</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>0</b>

**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

Policy and Procedure Memorandum No. 52, Revised, requires that all Requests for Changes in Appropriation be fully documented. At a minimum, the following questions and statements must be answered. Use Continuation Sheets as needed. **FAILURE TO ANSWER ALL QUESTIONS COMPLETELY WILL BE CAUSE TO RETURN THIS DOCUMENT WITHOUT ACTION.**

1. What is the source of funding (if other than General Fund (Direct))? Specifically identify any grant or public law and the purposes of the funds, if applicable. A copy of any grant application and the notice of approved grant or appropriation must accompany the BA-7. What are the expenditure restrictions of the funds?

The source of the funding is prior year over collections from two different statutory dedications: Structural Pest Control Commission Fund \$568,211 and Feed and Fertilizer Fund \$757,070. The department intends to use these funds to cover projected budget shortfalls in various expenditure categories. The following attachments will provide details on the means of financing and proposed spread of budget authority across programs.

2. Enter the financial impact of the requested adjustment for the next four fiscal years.

MEANS OF FINANCING OR EXPENDITURE	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>					
DIRECT	\$0	\$0	\$0	\$0	\$0
INTERAGENCY TRANSFERS	\$0	\$0	\$0	\$0	\$0
FEES & SELF-GENERATED	\$0	\$0	\$0	\$0	\$0
STATUTORY DEDICATIONS	\$1,325,281	\$0	\$0	\$0	\$0
FEDERAL	\$0	\$0	\$0	\$0	\$0
<b>TOTAL</b>	<b>\$1,325,281</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

3. If this action requires additional personnel, provide a detailed explanation below:  
This action requires no additional personnel.

4. Explain why this request can't be postponed for consideration in the agency's budget request for next fiscal year.  
Statutory Dedicated funds were over collected in the previous year and are needed in this fiscal year to meet expenditure shortfalls projected in various expenditure categories.

5. Is this an after the fact BA-7, e.g.; have expenditures been made toward the program this BA-7 is for? If yes, explain per PPM No.52.  
No. This is not an after the fact BA-7.

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## PERFORMANCE IMPACT OF MID-YEAR BUDGET ADJUSTMENT

2. Complete the following information for each objective and related performance indicators that will be affected by this request. (Note: Requested adjustments may involve revisions to existing objectives and performance indicators or creation of new objectives and performance indicators. Repeat this portion of the request form as often as necessary.)

[illegible]

Failure to approve this BA-7 will result in the department not being able to expend the excess Statutory Dedicated Funds on projected expenditure shortfalls.



STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 1 NAME: OFFICE OF MANAGEMENT AND FINANCE

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUTYEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>							
Direct	\$11,490,555	\$0	\$11,490,555	\$0	\$0	\$0	\$0
Interagency Transfers	\$189,035	\$0	\$189,035	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$1,852,742	\$0	\$1,852,742	\$0	\$0	\$0	\$0
Statutory Dedications *	\$4,947,163	\$30,000	\$4,977,163	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$960,047	\$0	\$960,047	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$19,439,542</b>	<b>\$30,000</b>	<b>\$19,469,542</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>EXPENDITURES:</b>							
Salaries	\$6,473,448	\$0	\$6,473,448	\$0	\$0	\$0	\$0
Other Compensation	\$216,355	\$0	\$216,355	\$0	\$0	\$0	\$0
Related Benefits	\$8,918,191	\$0	\$8,918,191	\$0	\$0	\$0	\$0
Travel	\$37,101	\$0	\$37,101	\$0	\$0	\$0	\$0
Operating Services	\$1,713,286	\$0	\$1,713,286	\$0	\$0	\$0	\$0
Supplies	\$385,105	\$30,000	\$415,105	\$0	\$0	\$0	\$0
Professional Services	\$36,954	\$0	\$36,954	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$1,263,925	\$0	\$1,263,925	\$0	\$0	\$0	\$0
Acquisitions	\$395,177	\$0	\$395,177	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$19,439,542</b>	<b>\$30,000</b>	<b>\$19,469,542</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>POSITIONS</b>							
Classified	95	0	95	0	0	0	0
Unclassified	10	0	10	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>105</b>	<b>0</b>	<b>105</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	10	0	10	0	0	0	0
NON-TO FTE POSITIONS	13 16	0	13 16	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>119 121</b>	<b>0</b>	<b>119 121</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>* Statutory Dedications:</b>							
Structural Pest Control Commission Fund (A02)	\$10,179	\$30,000	\$40,179	\$0	\$0	\$0	\$0
Louisiana Agricultural Finance Authority Fund (A07)	\$1,770,580	\$0	\$1,770,580	\$0	\$0	\$0	\$0
Pesticide Fund (A09)	\$623,716	\$0	\$623,716	\$0	\$0	\$0	\$0
Petroleum Products Fund (A15)	\$1,581,458	\$0	\$1,581,458	\$0	\$0	\$0	\$0
Agricultural Commodity Dealers & Warehouse Fund (A18)	\$245,963	\$0	\$245,963	\$0	\$0	\$0	\$0
Weights and Measures Fund (A23)	\$715,267	\$0	\$715,267	\$0	\$0	\$0	\$0



STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 1 NAME: OFFICE OF MANAGEMENT AND FINANCE

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$0	\$30,000	\$0	\$30,000

EXPENDITURES:						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$30,000	\$0	\$30,000
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$30,000</b>	<b>\$0</b>	<b>\$30,000</b>

OVER / (UNDER)	\$0	\$0	\$0	\$0	\$0	\$0
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POSITIONS						
Classified	0	0	0	0	0	0
Unclassified	0	0	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	0	0	0	0	0	0
NON-TO FTE POSITIONS	0	0	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

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STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 2 NAME: OFFICE OF AGRICULTURAL & ENVIRONMENTAL SCIENCES

MEANS OF FINANCING:	CURRENT	REQUESTED	REVISED	ADJUSTMENT OUTYEAR PROJECTIONS			
	FY 2017-2018	ADJUSTMENT	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
GENERAL FUND BY:							
Direct	\$95,533	\$0	\$95,533	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$74,962	\$0	\$74,962	\$0	\$0	\$0	\$0
Statutory Dedications *	\$18,116,338	\$977,312	\$19,093,650	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$1,052,317	\$0	\$1,052,317	\$0	\$0	\$0	\$0
TOTAL MOF	\$19,339,150	\$977,312	\$20,316,462	\$0	\$0	\$0	\$0
EXPENDITURES:							
Salaries	\$5,577,027	\$0	\$5,577,027	\$0	\$0	\$0	\$0
Other Compensation	\$277,948	\$0	\$277,948	\$0	\$0	\$0	\$0
Related Benefits	\$2,830,386	\$0	\$2,830,386	\$0	\$0	\$0	\$0
Travel	\$52,000	\$0	\$52,000	\$0	\$0	\$0	\$0
Operating Services	\$826,365	\$281,711	\$1,108,076	\$0	\$0	\$0	\$0
Supplies	\$578,084	\$0	\$578,084	\$0	\$0	\$0	\$0
Professional Services	\$55,000	\$0	\$55,000	\$0	\$0	\$0	\$0
Other Charges	\$583,538	\$40,000	\$623,538	\$0	\$0	\$0	\$0
Debt Services	\$7,845,486	\$0	\$7,845,486	\$0	\$0	\$0	\$0
Interagency Transfers	\$393,383	\$0	\$393,383	\$0	\$0	\$0	\$0
Acquisitions	\$319,933	\$655,601	\$975,534	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL EXPENDITURES	\$19,339,150	\$977,312	\$20,316,462	\$0	\$0	\$0	\$0
POSITIONS							
Classified	92	0	92	0	0	0	0
Unclassified	11	0	11	0	0	0	0
TOTAL T.O. POSITIONS	103	0	103	0	0	0	0
OTHER CHARGES POSITIONS	22 18	0	22 18	0	0	0	0
NON-TO FTE POSITIONS	2 8	0	2 8	0	0	0	0
TOTAL POSITIONS	127 129	0	127 129	0	0	0	0
* Statutory Dedications:							
Boll Weevil Eradication Fund (A12)	\$100,000	\$0	\$100,000	\$0	\$0	\$0	\$0
Feed and Fertilizer Fund (A29)	\$696,695	\$439,101	\$1,135,796	\$0	\$0	\$0	\$0
Horticulture and Quarantine Fund (A30)	\$2,550,000	\$0	\$2,550,000	\$0	\$0	\$0	\$0
Louisiana Agricultural Finance Authority Fund (A07)	\$7,945,486	\$0	\$7,945,486	\$0	\$0	\$0	\$0
Pesticide Fund (A09)	\$4,669,533	\$0	\$4,669,533	\$0	\$0	\$0	\$0
Seed Commission Fund (A21)	\$807,008	\$0	\$807,008	\$0	\$0	\$0	\$0
Structural Pest Control Commission Fund (A02)	\$1,147,616	\$538,211	\$1,685,827	\$0	\$0	\$0	\$0
Sweet Potato Pests & Diseases Fund (A22)	\$200,000	\$0	\$200,000	\$0	\$0	\$0	\$0



**STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 2 NAME: OFFICE OF AGRICULTURAL & ENVIRONMENTAL SCIENCES

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$0	\$977,312	\$0	\$977,312

EXPENDITURES:						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$281,711	\$0	\$281,711
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$40,000	\$0	\$40,000
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$655,601	\$0	\$655,601
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$977,312</b>	<b>\$0</b>	<b>\$977,312</b>

OVER / (UNDER)	\$0	\$0	\$0	\$0	\$0	\$0
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POSITIONS						
Classified	0	0	0	0	0	0
Unclassified	0	0	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSIT	0	0	0	0	0	0
NON-TO FTE POSITIONS	0	0	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

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STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 4 NAME: OFFICE OF ANIMAL HEALTH & FOOD SAFETY

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUTYEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>							
Direct	\$3,119,801	\$0	\$3,119,801	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$4,002,688	\$0	\$4,002,688	\$0	\$0	\$0	\$0
Statutory Dedications *	\$2,179,910	\$317,969	\$2,497,879	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$4,597,685	\$0	\$4,597,685	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$13,900,084</b>	<b>\$317,969</b>	<b>\$14,218,053</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>EXPENDITURES:</b>							
Salaries	\$5,935,672	\$0	\$5,935,672	\$0	\$0	\$0	\$0
Other Compensation	\$581,617	\$0	\$581,617	\$0	\$0	\$0	\$0
Related Benefits	\$3,206,404	\$0	\$3,206,404	\$0	\$0	\$0	\$0
Travel	\$71,862	\$0	\$71,862	\$0	\$0	\$0	\$0
Operating Services	\$1,732,484	\$217,969	\$1,950,453	\$0	\$0	\$0	\$0
Supplies	\$481,500	\$100,000	\$581,500	\$0	\$0	\$0	\$0
Professional Services	\$367,271	\$0	\$367,271	\$0	\$0	\$0	\$0
Other Charges	\$1,168,474	\$0	\$1,168,474	\$0	\$0	\$0	\$0
Debt Services		\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$54,800	\$0	\$54,800	\$0	\$0	\$0	\$0
Acquisitions	\$300,000	\$0	\$300,000	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$13,900,084</b>	<b>\$317,969</b>	<b>\$14,218,053</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>POSITIONS</b>							
Classified	100	0	100	0	0	0	0
Unclassified	5	0	5	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>105</b>	<b>0</b>	<b>105</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	1 0	0	1 0	0	0	0	0
NON-TO FTE POSITIONS	16 26 <i>SR</i>	0	16 26 <i>SR</i>	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>122 131</b>	<b>0</b>	<b>122 131</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>* Statutory Dedications:</b>							
Louisiana Agricultural Finance Authority Fund (A07)	\$1,116,740	\$0	\$1,116,740	\$0	\$0	\$0	\$0
Livestock Brand Commission Fund (A17)	\$10,000	\$0	\$10,000	\$0	\$0	\$0	\$0
Feed and Fertilizer Fund (A29)	\$1,053,170	\$317,969	\$1,371,139	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0

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**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 4 NAME: OFFICE OF ANIMAL HEALTH & FOOD SAFETY

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$0	\$317,969	\$0	\$317,969

EXPENDITURES:						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$217,969	\$0	\$217,969
Supplies	\$0	\$0	\$0	\$100,000	\$0	\$100,000
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$317,969</b>	<b>\$0</b>	<b>\$317,969</b>

OVER / (UNDER)	\$0	\$0	\$0	\$0	\$0	\$0
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POSITIONS						
Classified	0	0	0	0	0	0
Unclassified	0	0	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSIT	0	0	0	0	0	0
NON-TO FTE POSITIONS	0	0	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>



STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 5 NAME: OFFICE OF AGRO-CONSUMER SERVICES

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUTYEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
GENERAL FUND BY:							
Direct	\$69,035	\$0	\$69,035	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$621,016	\$0	\$621,016	\$0	\$0	\$0	\$0
Statutory Dedications *	\$6,563,543	\$0	\$6,563,543	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$623,532	\$0	\$623,532	\$0	\$0	\$0	\$0
TOTAL MOF	\$7,877,126	\$0	\$7,877,126	\$0	\$0	\$0	\$0

<b>EXPENDITURES:</b>							
Salaries	\$4,015,569	\$0	\$4,015,569	\$0	\$0	\$0	\$0
Other Compensation	\$355,514	\$0	\$355,514	\$0	\$0	\$0	\$0
Related Benefits	\$1,997,867	\$0	\$1,997,867	\$0	\$0	\$0	\$0
Travel	\$40,354	\$0	\$40,354	\$0	\$0	\$0	\$0
Operating Services	\$362,332	\$0	\$362,332	\$0	\$0	\$0	\$0
Supplies	\$452,395	\$0	\$452,395	\$0	\$0	\$0	\$0
Professional Services	\$26,678	\$0	\$26,678	\$0	\$0	\$0	\$0
Other Charges	\$432,371	\$0	\$432,371	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$165,934	\$0	\$165,934	\$0	\$0	\$0	\$0
Acquisitions	\$28,112	\$0	\$28,112	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$7,877,126</b>	<b>\$0</b>	<b>\$7,877,126</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

<b>POSITIONS</b>							
Classified	66	0	66	0	0	0	0
Unclassified	9	0	9	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>75</b>	<b>0</b>	<b>75</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	0	0	0	0	0	0	0
NON-TO FTE POSITIONS	9 42 20	0	9 12	20	0	0	0
<b>TOTAL POSITIONS</b>	<b>84 87</b>	<b>0</b>	<b>84 87</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

<b>* Statutory Dedications:</b>							
Petroleum Products Fund	\$3,018,542	\$0	\$3,018,542	\$0	\$0	\$0	\$0
Agricultural Commodity Dealers & Warehouse Fund (A18)	\$2,031,492	\$0	\$2,031,492	\$0	\$0	\$0	\$0
Weights and Measures Fund	\$1,513,509	\$0	\$1,513,509	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0



**STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 5 NAME: OFFICE OF AGRO-CONSUMER SERVICES

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$0	\$0	\$0	\$0

EXPENDITURES:						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

<b>OVER / (UNDER)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
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POSITIONS						
Classified	0	0	0	0	0	0
Unclassified	0	0	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSIT	0	0	0	0	0	0
NON-TO FTE POSITIONS	0	0	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

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STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 6 NAME: OFFICE OF FORESTRY

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUTYEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>							
Direct	\$10,179,486	\$0	\$10,179,486	\$0	\$0	\$0	\$0
Interagency Transfers	\$295,000	\$0	\$295,000	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$229,536	\$0	\$229,536	\$0	\$0	\$0	\$0
Statutory Dedications *	\$2,308,052	\$0	\$2,308,052	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$2,675,076	\$0	\$2,675,076	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$15,687,150</b>	<b>\$0</b>	<b>\$15,687,150</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>EXPENDITURES:</b>							
Salaries	\$7,315,088	\$0	\$7,315,088	\$0	\$0	\$0	\$0
Other Compensation	\$58,738	\$0	\$58,738	\$0	\$0	\$0	\$0
Related Benefits	\$3,661,727	\$0	\$3,661,727	\$0	\$0	\$0	\$0
Travel	\$77,043	\$0	\$77,043	\$0	\$0	\$0	\$0
Operating Services	\$826,027	\$0	\$826,027	\$0	\$0	\$0	\$0
Supplies	\$1,570,525	\$0	\$1,570,525	\$0	\$0	\$0	\$0
Professional Services	\$3,039	\$0	\$3,039	\$0	\$0	\$0	\$0
Other Charges	\$1,297,655	\$0	\$1,297,655	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$872,308	\$0	\$872,308	\$0	\$0	\$0	\$0
Acquisitions	\$5,000	\$0	\$5,000	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$15,687,150</b>	<b>\$0</b>	<b>\$15,687,150</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>POSITIONS</b>							
Classified	165	0	165	0	0	0	0
Unclassified	2	0	2	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>167</b>	<b>0</b>	<b>167</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	3 0	0	3 0	0	0	0	0
NON-TO FTE POSITIONS	2 0 2R	0	2 0	2R 0	0	0	0
<b>TOTAL POSITIONS</b>	<b>172 167</b>	<b>0</b>	<b>172 167</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>* Statutory Dedications:</b>							
La Ag Finance Authority Fund	1,168,113.00	\$0	\$1,168,113	\$0	\$0	\$0	\$0
Forest Protection Fund	806,606.00	\$0	\$806,606	\$0	\$0	\$0	\$0
Forestry Productivity Fund	333,333.00	\$0	\$333,333	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0



**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 6 NAME: OFFICE OF FORESTRY

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$0	\$0	\$0	\$0

EXPENDITURES:						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

<b>OVER / (UNDER)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
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POSITIONS						
Classified	0	0	0	0	0	0
Unclassified	0	0	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSIT	0	0	0	0	0	0
NON-TO FTE POSITIONS	0	0	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

# QUESTIONNAIRE ANALYSIS

(Please reference question numbers, provide detailed information and use continuation sheets as needed.)

## GENERAL PURPOSE

1. The purpose of this BA-7 is to increase budget authority for Statutory Dedicated Funds collected over budget authority. The funds will be utilized for purposes intended in Fiscal Year 2018.

## REVENUES

Feed & Fertilizer Fund R.S. 3:1407, 2011

<u>Current Budget</u>	<u>Revised Budget Amount w/BA-7</u>	<u>Current Anticipated Revenue</u>
\$1,749,865	\$2,506,935	\$2,506,935

Structural Pest Control Comm. Fund R.S. 3:3375, 1984

<u>Current Budget</u>	<u>Revised Budget Amount w/BA-7</u>	<u>Current Anticipated Revenue</u>
\$1,157,795	\$1,726,006	\$1,726,006

## EXPENDITURES

9. The requested funding of \$1,325,281 will be used for purposes of meeting anticipated expenditure in the current fiscal year. The expenditure authority is spread across three programs: the Office of Management and Finance, Agricultural and Environmental Sciences, and Animal Health & Food Safety. Attached to this BA-7 request is a summary of the proposed budget spread by means of financing across the programs.

Management and Finance

Supplies

\$30,000	General office supplies to assist Support Service with the Structural Pest Control program.
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AES

Operating Services

\$ 95,000	Software – Database Management System for Licensee & Technician Certification/Recertification Data, and Company Place of Business Data
\$ 30,000	Software – Monthly Reporting Online System Upgrade
\$ 60,000	Software – Online Payment Function that accompanies the Database Management System for Licensee & Technician Certification/Recertification Cards and Company Place of Business Permits
<u>\$ 96,711</u>	Software – Structural Certification, Training, Licensing, and Reporting Software
\$281,711	

Other Charges

\$25,000	Contract for Structural Inspector/Investigator training
<u>\$15,000</u>	Contract to revise and upgrade Licensee & Technician tests and Technician Study Guide
\$40,000	

Acquisitions

\$ 82,000	HPLC/UV that analyzes structural pesticides imidacloprid and fipronil
\$ 65,000	GC-FID that analyzes structural pesticides bifenthrin, cypermethrin, permethrin, and fipronil

\$ 45,000	(6) Office Security and Monitoring System to monitor administration of Structural tests in each district office
\$ 6,000	(12) Desktop Scanners for documentation of individual and company records and for commission proceedings
\$ 5,000	(10) Handheld Computers for Monitoring Adjudicatory Hearings/Commission Meetings
\$ 10,000	Recording System for Auditorium for recording hearings/commission meetings
\$290,601	GC/MS/MS (analytical equipment for detecting pesticide residue, chemicals to determine correct concentrations and to determine the existence of pesticides)
\$115,000	GC-Dual FID to replace current instrument
\$ 5,000	Vacuum drying oven
\$ 3,000	Spectrophotometer
\$ 20,000	(12) Missouri D fertilizer probes
\$ 9,000	(12) Fertilizer and Feed bag probes
\$655,601	

#### Animal Health & Food Safety

##### Operating Services

\$217,969	Additional Feed Sample Analyst by Field Inspectors for Feed Mycotoxin and Medicated Feeds.
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##### Supplies

\$100,000	Sampling Supplies and Inspector Equipment
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### OTHER

12. Dane Morgan  
 Assistant Commissioner for Management and Finance  
 Phone: (225) 952-8142  
 Email: dmorgan@LDAF.STATE.LA.US



**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

<b>DEPARTMENT: Culture, Recreation &amp; Tourism</b>			<b>FOR OPB USE ONLY</b>			
<b>AGENCY: Office of Cultural Development</b>			OPB LOG NUMBER <div style="font-size: 1.5em; font-family: cursive;">109</div>		AGENDA NUMBER <div style="font-size: 1.5em; font-family: cursive;">2</div>	
<b>SCHEDULE NUMBER: 06-265</b>			Approval and Authority:			
<b>SUBMISSION DATE: November 16, 2017</b>						
<b>AGENCY BA-7 NUMBER: DCRT-OCD-18-02</b>						
<b>HEAD OF BUDGET UNIT: Trey Phillips</b>						
<b>TITLE: Undersecretary</b>						
<b>SIGNATURE</b> <small>(Certifies that the information provided is correct and true to the best of your knowledge):</small> 						
<b>MEANS OF FINANCING</b>		<b>CURRENT FY 2017-2018</b>	<b>ADJUSTMENT (+) or (-)</b>		<b>REVISED FY 2017-2018</b>	
<b>GENERAL FUND BY:</b>						
DIRECT		\$1,848,522	\$0		\$1,848,522	
INTERAGENCY TRANSFERS		\$2,820,130	\$0		\$2,820,130	
FEES & SELF-GENERATED		\$368,448	\$326,552		\$695,000	
STATUTORY DEDICATIONS		\$80,000	\$0		\$80,000	
Archaeological Curation Fund (CT5)		\$80,000	\$0		\$80,000	
[Select Statutory Dedication]		\$0	\$0		\$0	
Subtotal of Dedications from Page 2		\$0	\$0		\$0	
FEDERAL		\$2,072,234	\$0		\$2,072,234	
<b>TOTAL</b>		<b>\$7,189,334</b>	<b>\$326,552</b>		<b>\$7,515,886</b>	
AUTHORIZED POSITIONS		28	0		28	
AUTHORIZED OTHER CHARGES		9	0		9	
NON-TO FTE POSITIONS		0	0		0	
<b>TOTAL POSITIONS</b>		<b>37</b>	<b>0</b>		<b>37</b>	
<b>PROGRAM EXPENDITURES</b>	<b>DOLLARS</b>	<b>POS</b>	<b>DOLLARS</b>	<b>POS</b>	<b>DOLLARS</b>	<b>POS</b>
<b>PROGRAM NAME:</b>						
Cultural Development	\$3,444,489	25	\$326,552	0	\$3,771,041	25
Arts	\$3,016,495	7	\$0	0	\$3,016,495	7
Administrative	\$728,350	5	\$0	0	\$728,350	5
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
Subtotal of programs from Page 2:	\$0	0	\$0	0	\$0	0
<b>TOTAL</b>	<b>\$7,189,334</b>	<b>37</b>	<b>\$326,552</b>	<b>0</b>	<b>\$7,515,886</b>	<b>37</b>



**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

<b>DEPARTMENT:</b> Culture, Recreation & Tourism	<b>FOR OPB USE ONLY</b>	
<b>AGENCY:</b> Office of Cultural Development	OPB LOG NUMBER	AGENDA NUMBER
<b>SCHEDULE NUMBER:</b> 06-265		
<b>SUBMISSION DATE:</b> November 16, 2017	<b>ADDENDUM TO PAGE 1</b>	
<b>AGENCY BA-7 NUMBER:</b> DCRT- OCD-18-02		

Use this section for additional Statutory Dedications, if needed.

The subtotal will automatically be transferred to Page 1.

MEANS OF FINANCING	CURRENT FY 2017-2018	ADJUSTMENT (+) or (-)	REVISED FY 2017-2018
<b>GENERAL FUND BY:</b>			
<b>STATUTORY DEDICATIONS</b>			
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
<b>SUBTOTAL (to Page 1)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

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Use this section for additional Program Names, if needed.

The subtotal will automatically be transferred to Page 1.

PROGRAM EXPENDITURES	DOLLARS	POS	DOLLARS	POS	DOLLARS	POS
<b>PROGRAM NAME:</b>						
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
<b>SUBTOTAL (to Page 1)</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>0</b>

**STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

Policy and Procedure Memorandum No. 52, Revised, requires that all Requests for Changes in Appropriation be fully documented. At a minimum, the following questions and statements must be answered. Use Continuation Sheets as needed. **FAILURE TO ANSWER ALL QUESTIONS COMPLETELY WILL BE CAUSE TO RETURN THIS DOCUMENT WITHOUT ACTION.**

1. What is the source of funding (if other than General Fund (Direct))? Specifically identify any grant or public law and the purposes of the funds, if applicable. A copy of any grant application and the notice of approved grant or appropriation must accompany the BA-7. What are the expenditure restrictions of the funds? Funding is derived from the State Historic Preservation Office (SHPO) activity, and is recognized as Fees & Self-Generated Revenue (F&SG) revenue. SHPO provides two main services, Archaeology and Historic Preservation, that generate this revenue.

Under the authority of R.S. 41:1608, the Louisiana Division of Archaeology charges a fee for online access to their database. Private entities and federal agencies that choose to use the service, remit payment in accordance with the Louisiana Administrative Code (LAC). LAC Title 25.1.A §122.D.1 states that "the division shall charge an annual, non-refundable fee for online access to the division's geographic information system (GIS). The fee will be \$1,300 per state fiscal year for each public or private entity with one or more professional archaeologists on staff or an individual professional archaeologist who will use the online access." There will be an additional estimated 50 online access requests processed, making the increase needed in Self-Generated means of financing \$60,000 for this activity.

Under the authority of R.S. 47:6019, the Louisiana Division of Historic Preservation charges a fee for processing applications related to the rehabilitation historic structures. Commercial and Residential property owners claiming a tax credit for rehabilitation costs, must be reviewed by Historic Preservation to ensure that cost are eligible and in accordance with the U.S. Department of the Interior's standards. LAC Title 25.13 §1303.A states that "the Division of Historic Preservation shall charge an application fee for each rehabilitation project that is submitted." There is an estimated additional 248 rehabilitation applications to be processed which will generate additional self generated revenue of \$288,552. Attached is the Application Fees information sheet.

2. Enter the financial impact of the requested adjustment for the next four fiscal years.

MEANS OF FINANCING OR EXPENDITURE	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>					
DIRECT	\$0	\$0	\$0	\$0	\$0
INTERAGENCY TRANSFERS	\$0	\$0	\$0	\$0	\$0
FEES & SELF-GENERATED	\$326,552	\$325,052	\$325,052	\$325,052	\$325,052
STATUTORY DEDICATIONS	\$0	\$0	\$0	\$0	\$0
FEDERAL	\$0	\$0	\$0	\$0	\$0
<b>TOTAL</b>	<b>\$326,552</b>	<b>\$325,052</b>	<b>\$325,052</b>	<b>\$325,052</b>	<b>\$325,052</b>

3. If this action requires additional personnel, provide a detailed explanation below:

Not Applicable

4. Explain why this request can't be postponed for consideration in the agency's budget request for next fiscal year.

This SHPO budget authority is needed to collect revenue in order to fund staff salaries and other vital operating costs (e.g. customer databases, server software, technical training, site visits, fleet maintenance). Also, the tax credit program needs to fill an unfunded Other Charges position to scan and transfer project files from a database that is no longer used, to the current project database. Also, the program is receiving an increasing number of Part 3/Closeout applications which are more time consuming to review than other applications. Regardless of the number and types of applications received, the projects must be reviewed within federally mandated timeframes.

Also, LAC 25.1.A §122.D.1 was published in January of 2017 and became effective in April of 2017, and this timing resulted in budget authority being added to the FY 2017 budget through a Supplemental Appropriation under Act 2 / HB No.5 of the Second Extraordinary Session. Consequently, the budget authority was not added to the FY 2018 budget.

5. Is this an after the fact BA-7, e.g.; have expenditures been made toward the program this BA-7 is for? If yes, explain per PPM No.52.

No

## State Commercial Tax Credit Application Fees

The Division of Historic Preservation shall charge an application fee for each rehabilitation project that is submitted to the Division. Application fees for a single rehabilitation project are as indicated below:

Qualified Rehabilitation Expenditures (QREs)	Part 2 Fee, based on <i>estimated cost of rehabilitation</i>	Part 3 Fee, based on <i>qualified rehabilitation expenditures</i>
Up to \$100,000	\$250	None
\$100,001 - \$500,000	\$250	1.5% of credit amount, minus Part 2 fee
\$500,001 - \$1 million	\$500	1.5% of credit amount, minus Part 2 fee
\$1,000,001 - \$3 million	\$1,000	1.5% of credit amount, minus Part 2 fee
\$3,000,001 - \$6 million	\$2,000	1.5% of credit amount, minus Part 2 fee (\$15,000 cap)
\$6,000,001 - \$15 million	\$3,500	1.5% of credit amount, minus Part 2 fee (\$15,000 cap)
\$15,000,001 +	\$5,000	1.5% of credit amount, minus Part 2 fee (\$15,000 cap)

A decision will not be issued on an application until the appropriate remittance is received. Fees must be submitted by check, made payable to the Louisiana Division of Historic Preservation. You must reference your project's address and assigned project number (if available).

For a project that had a Part 2 and/or Part 3 received by the Division of Historic Preservation prior to September 20, 2014, no additional fee will be required. All Part 2 applications received on or after September 20, 2014 will have fees assessed according to the schedule above.

### Calculating the Application Fees

The formula below will utilize information reported on both the Part 2 and Part 3 application forms. The letters in parentheses correspond to their respective place in the formula used to calculate fees, as defined:

- (A) Qualified Rehabilitation Expenses as reported in Section 2 of the Part 3 – Request for Project Certification
- (B) Amount of estimated credit
- (C) Total project application fee
- (D) Previously submitted Part 2 application fee
- (E) Part 3 application fee

### Calculating the Part 2 Application Fee (D)

Estimated QREs up to \$100,000	\$250
Estimated QREs \$100,000 to \$500,000	\$250
Estimated QREs \$500,001 to \$1 million	\$500
Estimated QREs \$1,000,001 to \$3 million	\$1,000
Estimated QREs \$3,000,001 to \$6 million	\$2,000
Estimated QREs \$6,000,001 to \$15 million	\$3,500
Estimated QREs \$15,000,001 +	\$5,000

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PERFORMANCE IMPACT OF MID-YEAR BUDGET ADJUSTMENT**

1. Identify and explain the programmatic impacts (positive or negative) that will result from the approval of this BA-7.

This BA-7 will allow the Division of Archaeology to have maintenance done on the Louisiana Cultural Resources Map/G.I.S. system (database and server) and continue to provide services to users of the system (federal agencies and private firms). It will allow the Division of Historic Preservation to continue providing tax credit services in accordance with federal program requirements, and continue providing services to commercial investors in Louisiana properties. The tax credit program will be able to consistently perform timely reviews of approximately one thousand applications per year in accordance with the Secretary of the Interior's Standards, perform site visits, and submit documentation to the National Park Service within 30 days of receipt.

In addition, approval of this request enables constituents to access our systems remotely, providing a quality service to the end user. The agency will also be able to conduct education and outreach to ensure that Louisiana entity's and individuals are more knowledgeable of the services that are provided the State Historic Preservation Office.

2. Complete the following information for each objective and related performance indicators that will be affected by this request. (Note: Requested adjustments may involve revisions to existing objectives and performance indicators or creation of new objectives and performance indicators. Repeat this portion of the request form as often as necessary.)

**OBJECTIVE:**

By 2019, improve management of the record of Louisiana's archaeological resources and assets by providing on-line availability of 100% of the site forms and by curating 100% of the artifact collections to state and federal standards.

Assist in the restoration of 2,000 historic properties by 2019.

LEVEL	PERFORMANCE INDICATOR NAME	PERFORMANCE STANDARD		
		CURRENT FY 2017-2018	ADJUSTMENT (+) OR (-)	REVISED FY 2017-2018
N	Number of times that the Geographical Information System was accessed by a user.	4,500	0	4,500
K	Number of historic properties preserved.	400	75	475

**JUSTIFICATION FOR ADJUSTMENT(S):** Explain the necessity of the adjustment(s).

The "Number of times that the Geographical Information System was accessed by a user" is a new performance indicator that is associated with a new fee/service provided.

The "Number of historic properties preserved" should be increased due to the budget authority increase for an existing performance indicator.

3. Briefly explain any performance impacts other than or in addition to effects on objectives and performance indicators. (For example: Are there any anticipated direct or indirect effects on program management or service recipients? Will this BA-7 have a positive or negative impact on some other program or agency?)

The Louisiana Division of Historic Preservation administers the Federal Historic Rehabilitation Tax Credit Program in conjunction with the National Park Service (NPS) and the Internal Revenue Service (IRS); and, two state tax credit programs in conjunction with the Louisiana Department of Revenue (LDR). The Tax Credit Program not only significantly impacts the amount of dollars leveraged in private investment and venture capital applied to Louisiana buildings (e.g. historic downtown buildings, vacant/abandoned buildings, restaurants, plantation homes, etc.), but also impacts approximately 5,000 construction jobs per year. The Louisiana Division of Archaeology provides online access to professional archaeologists/private firms, and also provides these services for entity's such as the Louisiana Coastal Protection and Restoration Authority, GOSHEP, FEMA, Corp. of Engineers, etc. for Archaeological research and Section 106 investigations.

4. If there are no performance impacts associated with this BA-7 request, then fully explain this lack of performance impact.

Not Applicable

5. Describe the performance impacts of failure to approve this BA-7. (Be specific. Relate performance impacts to objectives and performance indicators.)

If this BA-7 is not approved, Louisiana's archaeological resources can not get shared through the Geographical Information System with government agencies and private firms that require access, and Historic Preservation / construction projects in Louisiana could be delayed without authority for the requested operating costs.

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 1 NAME: Cultural Development Program

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUTYEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>							
Direct	\$1,229,181	\$0	\$1,229,181	\$0	\$0	\$0	\$0
Interagency Transfers	\$581,925	\$0	\$581,925	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$367,948	\$326,552	\$694,500	\$325,052	\$325,052	\$325,052	\$325,052
Statutory Dedications *	\$80,000	\$0	\$80,000	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$1,185,435	\$0	\$1,185,435	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$3,444,489</b>	<b>\$326,552</b>	<b>\$3,771,041</b>	<b>\$325,052</b>	<b>\$325,052</b>	<b>\$325,052</b>	<b>\$325,052</b>
<b>EXPENDITURES:</b>							
Salaries	\$930,998	\$0	\$930,998	\$0	\$0	\$0	\$0
Other Compensation	\$15,493	\$0	\$15,493	\$0	\$0	\$0	\$0
Related Benefits	\$536,339	\$0	\$536,339	\$0	\$0	\$0	\$0
Travel	\$10,585	\$13,000	\$23,585	\$13,000	\$13,000	\$13,000	\$13,000
Operating Services	\$31,803	\$55,000	\$86,803	\$55,000	\$55,000	\$55,000	\$55,000
Supplies	\$15,320	\$6,000	\$21,320	\$6,000	\$6,000	\$6,000	\$6,000
Professional Services	\$4,178	\$0	\$4,178	\$0	\$0	\$0	\$0
Other Charges	\$1,877,657	\$244,052	\$2,121,709	\$244,052	\$244,052	\$244,052	\$244,052
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$22,116	\$7,000	\$29,116	\$7,000	\$7,000	\$7,000	\$7,000
Acquisitions	\$0	\$1,500	\$1,500	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$3,444,489</b>	<b>\$326,552</b>	<b>\$3,771,041</b>	<b>\$325,052</b>	<b>\$325,052</b>	<b>\$325,052</b>	<b>\$325,052</b>
<b>POSITIONS</b>							
Classified	16	0	16	0	0	0	0
Unclassified	1	0	1	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>17</b>	<b>0</b>	<b>17</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	8	0	8	0	0	0	0
NON-TO FTE POSITIONS	0	0	0	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>25</b>	<b>0</b>	<b>25</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>* Statutory Dedications:</b>							
Archaeological Curation Fund (CT5)	\$80,000	\$0	\$80,000	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0

**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 1 NAME: Cultural Development Program

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$326,552	\$0	\$0	\$326,552
<b>EXPENDITURES:</b>						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$13,000	\$0	\$0	\$13,000
Operating Services	\$0	\$0	\$55,000	\$0	\$0	\$55,000
Supplies	\$0	\$0	\$6,000	\$0	\$0	\$6,000
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$244,052	\$0	\$0	\$244,052
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$7,000	\$0	\$0	\$7,000
Acquisitions	\$0	\$0	\$1,500	\$0	\$0	\$1,500
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$326,552</b>	<b>\$0</b>	<b>\$0</b>	<b>\$326,552</b>
<b>OVER / (UNDER)</b>						
	\$0	\$0	\$0	\$0	\$0	\$0

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 2 NAME: Arts Program

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUT YEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>							
Direct	\$13,537	\$0	\$13,537	\$0	\$0	\$0	\$0
Interagency Transfers	\$2,115,659	\$0	\$2,115,659	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$500	\$0	\$500	\$0	\$0	\$0	\$0
Statutory Dedications *	\$0	\$0	\$0	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$886,799	\$0	\$886,799	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$3,016,495</b>	<b>\$0</b>	<b>\$3,016,495</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>EXPENDITURES:</b>							
Salaries	\$462,452	\$0	\$462,452	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$237,995	\$0	\$237,995	\$0	\$0	\$0	\$0
Travel	\$10,554	\$0	\$10,554	\$0	\$0	\$0	\$0
Operating Services	\$58,346	\$0	\$58,346	\$0	\$0	\$0	\$0
Supplies	\$5,014	\$0	\$5,014	\$0	\$0	\$0	\$0
Professional Services	\$500	\$0	\$500	\$0	\$0	\$0	\$0
Other Charges	\$2,234,782	\$0	\$2,234,782	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$6,852	\$0	\$6,852	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$3,016,495</b>	<b>\$0</b>	<b>\$3,016,495</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>POSITIONS</b>							
Classified	6	0	6	0	0	0	0
Unclassified	1	0	1	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>7</b>	<b>0</b>	<b>7</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	0	0	0	0	0	0	0
NON-TO FTE POSITIONS	0	0	0	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>7</b>	<b>0</b>	<b>7</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>* Statutory Dedications:</b>							
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 2 NAME: Arts Program

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$0	\$0	\$0	\$0
<b>EXPENDITURES:</b>						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>OVER / (UNDER)</b>						
	\$0	\$0	\$0	\$0	\$0	\$0



STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 3 NAME: Administrative Program

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUT YEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>							
Direct	\$605,804	\$0	\$605,804	\$0	\$0	\$0	\$0
Interagency Transfers	\$122,546	\$0	\$122,546	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Statutory Dedications *	\$0	\$0	\$0	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$728,350</b>	<b>\$0</b>	<b>\$728,350</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>EXPENDITURES:</b>							
Salaries	\$278,580	\$0	\$278,580	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$158,423	\$0	\$158,423	\$0	\$0	\$0	\$0
Travel	\$9,039	\$0	\$9,039	\$0	\$0	\$0	\$0
Operating Services	\$6,724	\$0	\$6,724	\$0	\$0	\$0	\$0
Supplies	\$503	\$0	\$503	\$0	\$0	\$0	\$0
Professional Services	\$500	\$0	\$500	\$0	\$0	\$0	\$0
Other Charges	\$38,749	\$0	\$38,749	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$235,832	\$0	\$235,832	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$728,350</b>	<b>\$0</b>	<b>\$728,350</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>POSITIONS</b>							
Classified	3	0	3	0	0	0	0
Unclassified	1	0	1	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>4</b>	<b>0</b>	<b>4</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	1	0	1	0	0	0	0
NON-TO FTE POSITIONS	0	0	0	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>5</b>	<b>0</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>* Statutory Dedications:</b>							
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 3 NAME: Administrative Program

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$0	\$0	\$0	\$0
<b>EXPENDITURES:</b>						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>OVER / (UNDER)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

## **BA-7 QUESTIONNAIRE**

### **GENERAL PURPOSE**

1. This BA-7 is for the Office of Cultural Development to increase the Fees & Self-Generated (F&SG) revenue means of finance for State Historic Preservation Office (SHPO) expenditures. Overall, this request seeks to align the FY 2018 budget authority with current year collections, which is more consistent with the FY 2017 budget authority, collections, and expenditures for these SHPO activities. A significant contributing factor is a new Archaeology fee that was promulgated in accordance with the Administrative Procedures Act in FY 2017, and the agency is requesting the budget authority to collect those funds and incur the corresponding expenditures. Also, there is a demand to provide timely and quality state and federal tax credit program services for which the Division of Historic Preservation must supply.

### **REVENUES**

#### **2. If STATE GENERAL FUND**

- Not Applicable

#### **3. If IAT**

- Not Applicable

#### **4. If Self-Generated Revenues**

- Funds are generated by charging an annual fee for online access to the Louisiana Division of Archaeology's Cultural Resources Map / Geographical Information System (G.I.S.) database, and fees charged for reviewing, processing, and monitoring Historic Preservation tax credit applications for building renovation/rehabilitation.

<b>Budget Authority</b>	<b>Total</b>	<b>Historic Preservation</b>	<b>Archaeology</b>	<b>CODOFIL</b>	<b>Arts</b>
Original	\$368,448	\$357,948	\$5,000	\$5,000	\$500
Revised	\$695,000	\$624,500	\$65,000	\$5,000	\$500
Difference	\$ 326,552	\$ 266,552	\$ 60,000	\$ -	\$ -

#### **5. If Statutory Dedications**

- Not Applicable

#### **6. If Interim Emergency Board Appropriations**

- Not Applicable

#### **7. If Federal Funds**

- Not Applicable

#### **8. All Grants:**

- Not Applicable

### **EXPENDITURES**

9. Provide detailed expenditure information including how the amount requested was calculated.

- The amount is based on customer/project database maintenance costs, additional user licenses, software upgrades, staff training, site visits, fleet maintenance, server maintenance, and other miscellaneous operating costs. Also, the amount includes existing employee's staff salaries and the need to fill one unfunded job appointment position and acquire a computer for the potential candidate.

10. If funds are being transferred, please explain how excess funds became available.

- Not Applicable

11. Provide object details as part of explanation.

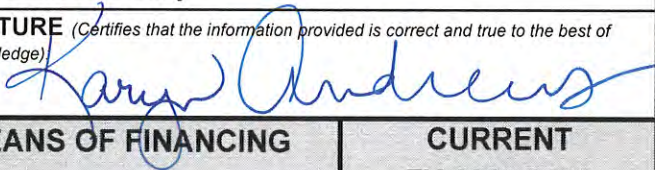
Object Category	Historic Preservation	Archaeology	Amount
Travel	\$13,000	\$0	\$13,000
Operating Services	\$27,000	\$28,000	\$55,000
Supplies	\$6,000	\$0	\$6,000
Other Charges	\$212,052	\$32,000	\$244,052
Acquisitions	\$1,500	\$0	\$1,500
Interagency Transfers	\$7,000	\$0	\$7,000
Total	\$266,552	\$60,000	\$326,552

## OTHER

12. Provide names, phone numbers and e-mail addresses of agency contacts that can provide further information on this item and will attend JLCB to testify.

- Billy Nungesser, LT Governor    [bnungesser@crt.la.gov](mailto:bnungesser@crt.la.gov)    (225) 342-8607
- Bill Cody, Deputy Secretary    [bcody@crt.la.gov](mailto:bcody@crt.la.gov)    (225) 342-8607
- Trey Phillips, Undersecretary    [tphillips@crt.la.gov](mailto:tphillips@crt.la.gov)    (225) 342-8201

**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

<b>DEPARTMENT: Environmental Quality</b>			<b>FOR OPB USE ONLY</b>				
<b>AGENCY: Office of Environmental Quality</b>			<b>OPB LOG NUMBER</b>		<b>AGENDA NUMBER</b>		
<b>SCHEDULE NUMBER: 13-856</b>			183		3		
<b>SUBMISSION DATE: 12/19/17</b>			Approval and Authority:				
<b>AGENCY BA-7 NUMBER: 856-FY18-02</b>							
<b>HEAD OF BUDGET UNIT: Karyn Andrews</b>							
<b>TITLE: Undersecretary</b>							
<b>SIGNATURE</b> <small>(Certifies that the information provided is correct and true to the best of your knowledge)</small>							
							
<b>MEANS OF FINANCING</b>		<b>CURRENT FY 2017-2018</b>		<b>ADJUSTMENT (+) or (-)</b>		<b>REVISED FY 2017-2018</b>	
<b>GENERAL FUND BY:</b>							
DIRECT		\$0		\$0		\$0	
INTERAGENCY TRANSFERS		\$670,829		\$0		\$670,829	
FEES & SELF-GENERATED		\$24,790		\$0		\$24,790	
STATUTORY DEDICATIONS		\$104,184,518		\$1,824,527		\$106,009,045	
Hazardous Waste Site Cleanup Fund (Q01)		\$4,430,337		\$0		\$4,430,337	
Environmental Trust Fund (Q02)		\$67,588,490		\$0		\$67,588,490	
Subtotal of Dedications from Page 2		\$32,165,691		\$1,824,527		\$33,990,218	
FEDERAL		\$20,155,915		\$0		\$20,155,915	
<b>TOTAL</b>		<b>\$125,036,052</b>		<b>\$1,824,527</b>		<b>\$126,860,579</b>	
AUTHORIZED POSITIONS		698		0		698	
AUTHORIZED OTHER CHARGES		0		0		0	
NON-TO FTE POSITIONS		0		0		0	
<b>TOTAL POSITIONS</b>		<b>698</b>		<b>0</b>		<b>698</b>	
<b>PROGRAM EXPENDITURES</b>		<b>DOLLARS</b>	<b>POS</b>	<b>DOLLARS</b>	<b>POS</b>	<b>DOLLARS</b>	<b>POS</b>
<b>PROGRAM NAME:</b>							
Office of the Secretary		\$7,435,472	71	\$0	0	\$7,435,472	71
Office of Environmental Compliance		\$22,788,828	235	\$0	0	\$22,788,828	235
Office of Environmental Services		\$14,725,401	158	\$0	0	\$14,725,401	158
Office of Management & Finance		\$51,029,329	52	\$1,824,527	0	\$52,853,856	52
Office of Environmental Assessment		\$29,057,022	182	\$0	0	\$29,057,022	182
		\$0	0	\$0	0	\$0	0
		\$0	0	\$0	0	\$0	0
		\$0	0	\$0	0	\$0	0
		\$0	0	\$0	0	\$0	0
		\$0	0	\$0	0	\$0	0
Subtotal of programs from Page 2:		\$0	0	\$0	0	\$0	0
<b>TOTAL</b>		<b>\$125,036,052</b>	<b>698</b>	<b>\$1,824,527</b>	<b>0</b>	<b>\$126,860,579</b>	<b>698</b>



**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

<b>DEPARTMENT:</b> Environmental Quality	<b>FOR OPB USE ONLY</b>	
<b>AGENCY:</b> Office of Environmental Quality	OPB LOG NUMBER	AGENDA NUMBER
<b>SCHEDULE NUMBER:</b> 13-856		
<b>SUBMISSION DATE:</b> 12/19/17	<b>ADDENDUM TO PAGE 1</b>	
<b>AGENCY BA-7 NUMBER:</b> 856-FY18-02		

Use this section for additional Statutory Dedications, if needed.

The subtotal will automatically be transferred to Page 1.

MEANS OF FINANCING	CURRENT FY 2017-2018	ADJUSTMENT (+) or (-)	REVISED FY 2017-2018
<b>GENERAL FUND BY:</b>			
<b>STATUTORY DEDICATIONS</b>			
Clean Water State Revolving Fund (Q03)	\$4,759,000	\$0	\$4,759,000
Motor Fuels Underground Tank (Q05)	\$15,649,485	\$0	\$15,649,485
Waste Tire Management Fund (Q06)	\$11,435,232	\$1,824,527	\$13,259,759
Lead Hazard Reduction Fund (Q07)	\$95,000	\$0	\$95,000
Oil Spill Contingency Fund (V01)	\$226,974	\$0	\$226,974
[Select Statutory Dedication]	\$0	\$0	\$0
<b>SUBTOTAL (to Page 1)</b>	<b>\$32,165,691</b>	<b>\$1,824,527</b>	<b>\$33,990,218</b>

Use this section for additional Program Names, if needed.

The subtotal will automatically be transferred to Page 1.

PROGRAM EXPENDITURES	DOLLARS	POS	DOLLARS	POS	DOLLARS	POS
<b>PROGRAM NAME:</b>						
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
<b>SUBTOTAL (to Page 1)</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>0</b>

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**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

Policy and Procedure Memorandum No. 52, Revised, requires that all Requests for Changes in Appropriation be fully documented. At a minimum, the following questions and statements must be answered. Use Continuation Sheets as needed. **FAILURE TO ANSWER ALL QUESTIONS COMPLETELY WILL BE CAUSE TO RETURN THIS DOCUMENT WITHOUT ACTION.**

1. What is the source of funding (if other than General Fund (Direct))? Specifically identify any grant or public law and the purposes of the funds, if applicable. A copy of any grant application and the notice of approved grant or appropriation must accompany the BA-7. What are the expenditure restrictions of the funds?  
Waste Tire Management Fund (Q06) - \$1,824,527

2. Enter the financial impact of the requested adjustment for the next four fiscal years.

MEANS OF FINANCING OR EXPENDITURE	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>					
DIRECT	\$0	\$0	\$0	\$0	\$0
INTERAGENCY TRANSFERS	\$0	\$0	\$0	\$0	\$0
FEES & SELF-GENERATED	\$0	\$0	\$0	\$0	\$0
STATUTORY DEDICATIONS	\$1,824,527	\$0	\$0	\$0	\$0
FEDERAL	\$0	\$0	\$0	\$0	\$0
<b>TOTAL</b>	<b>\$1,824,527</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

3. If this action requires additional personnel, provide a detailed explanation below:  
N/A

4. Explain why this request can't be postponed for consideration in the agency's budget request for next fiscal year.

Waste tire processor payment requests for FY 18 are currently projected to be higher than earlier projections and LDEQ may be unable to process the payments due to the budget ceiling. Therefore, this BA-7 is to increase the budget to reflect current projected waste tire processor payment requests for FY 18.

5. Is this an after the fact BA-7, e.g.; have expenditures been made toward the program this BA-7 is for? If yes, explain per PPM No.52.  
N/A

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PERFORMANCE IMPACT OF MID-YEAR BUDGET ADJUSTMENT**

1. Identify and explain the programmatic impacts (positive or negative) that will result from the approval of this BA-7.

N/A

2. Complete the following information for each objective and related performance indicators that will be affected by this request. (Note: Requested adjustments may involve revisions to existing objectives and performance indicators or creation of new objectives and performance indicators. Repeat this portion of the request form as often as necessary.)

OBJECTIVE:

LEVEL	PERFORMANCE INDICATOR NAME	PERFORMANCE STANDARD		
		CURRENT FY 2017-2018	ADJUSTMENT (+) OR (-)	REVISED FY 2017-2018

JUSTIFICATION FOR ADJUSTMENT(S): Explain the necessity of the adjustment(s).

3. Briefly explain any performance impacts other than or in addition to effects on objectives and performance indicators. (For example: Are there any anticipated direct or indirect effects on program management or service recipients? Will this BA-7 have a positive or negative impact on some other program or agency?)

N/A

4. If there are no performance impacts associated with this BA-7 request, then fully explain this lack of performance impact.

N/A

5. Describe the performance impacts of failure to approve this BA-7. (Be specific. Relate performance impacts to objectives and performance indicators.)

N/A

A



STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 1 NAME: Office of the Secretary

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUT-YEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>							
Direct	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Statutory Dedications *	\$5,976,811	\$0	\$5,976,811	\$0	\$0	\$0	\$0
<b>FEDERAL FUNDS</b>	\$1,458,661	\$0	\$1,458,661	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$7,435,472</b>	<b>\$0</b>	<b>\$7,435,472</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>EXPENDITURES:</b>							
Salaries	\$4,730,165	\$0	\$4,730,165	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$2,219,579	\$0	\$2,219,579	\$0	\$0	\$0	\$0
Travel	\$46,350	\$0	\$46,350	\$0	\$0	\$0	\$0
Operating Services	\$139,071	\$0	\$139,071	\$0	\$0	\$0	\$0
Supplies	\$50,773	\$0	\$50,773	\$0	\$0	\$0	\$0
Professional Services	\$24,750	\$0	\$24,750	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$194,784	\$0	\$194,784	\$0	\$0	\$0	\$0
Acquisitions	\$30,000	\$0	\$30,000	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$7,435,472</b>	<b>\$0</b>	<b>\$7,435,472</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>POSITIONS</b>							
Classified	62	0	62	0	0	0	0
Unclassified	9	0	9	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>71</b>	<b>0</b>	<b>71</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	0	0	0	0	0	0	0
NON-TO FTE POSITIONS	0	0	0	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>71</b>	<b>0</b>	<b>71</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>* Statutory Dedications:</b>							
Hazardous Waste Site Cleanup Fund (Q01)	\$20,000	\$0	\$20,000	\$0	\$0	\$0	\$0
Environmental Trust Fund (Q02)	\$5,273,811	\$0	\$5,273,811	\$0	\$0	\$0	\$0
Clean Water State Revolving Fund (Q03)	\$453,000	\$0	\$453,000	\$0	\$0	\$0	\$0
Motor Fuels Underground Tank (Q05)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Waste Tire Management Fund (Q06)	\$225,000	\$0	\$225,000	\$0	\$0	\$0	\$0
Lead Hazard Reduction Fund (Q07)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Oil Spill Contingency Fund (V01)	\$5,000	\$0	\$5,000	\$0	\$0	\$0	\$0
(Select Statutory Dedication)	\$0	\$0	\$0	\$0	\$0	\$0	\$0

**STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 1 NAME: Office of the Secretary

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$0	\$0	\$0	\$0
<b>EXPENDITURES:</b>						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>OVER / (UNDER)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 2 NAME: Office of Environmental Compliance

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUTYEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>							
Direct	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$350,000	\$0	\$350,000	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Statutory Dedications *	\$19,485,854	\$0	\$19,485,854	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$2,952,974	\$0	\$2,952,974	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$22,788,828</b>	<b>\$0</b>	<b>\$22,788,828</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>EXPENDITURES:</b>							
Salaries	\$11,999,371	\$0	\$11,999,371	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$6,138,603	\$0	\$6,138,603	\$0	\$0	\$0	\$0
Travel	\$124,980	\$0	\$124,980	\$0	\$0	\$0	\$0
Operating Services	\$1,009,356	\$0	\$1,009,356	\$0	\$0	\$0	\$0
Supplies	\$524,871	\$0	\$524,871	\$0	\$0	\$0	\$0
Professional Services	\$1,648,976	\$0	\$1,648,976	\$0	\$0	\$0	\$0
Other Charges	\$383,000	\$0	\$383,000	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$132,110	\$0	\$132,110	\$0	\$0	\$0	\$0
Acquisitions	\$827,561	\$0	\$827,561	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$22,788,828</b>	<b>\$0</b>	<b>\$22,788,828</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>POSITIONS</b>							
Classified	235	0	235	0	0	0	0
Unclassified	0	0	0	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>235</b>	<b>0</b>	<b>235</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	0	0	0	0	0	0	0
NON-TO FTE POSITIONS	0	0	0	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>235</b>	<b>0</b>	<b>235</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>* Statutory Dedications:</b>							
Hazardous Waste Site Cleanup Fund (Q01)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Environmental Trust Fund (Q02)	\$18,191,625	\$0	\$18,191,625	\$0	\$0	\$0	\$0
Clean Water State Revolving Fund (Q03)	\$1,013,000	\$0	\$1,013,000	\$0	\$0	\$0	\$0
Motor Fuels Underground Tank (Q05)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Waste Tire Management Fund (Q06)	\$230,000	\$0	\$230,000	\$0	\$0	\$0	\$0
Lead Hazard Reduction Fund (Q07)	\$20,000	\$0	\$20,000	\$0	\$0	\$0	\$0
Oil Spill Contingency Fund (V01)	\$31,229	\$0	\$31,229	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0

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STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 2 NAME: Office of Environmental Compliance

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$0	\$0	\$0	\$0

EXPENDITURES:						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL EXPENDITURES	\$0	\$0	\$0	\$0	\$0	\$0

OVER / (UNDER)	\$0	\$0	\$0	\$0	\$0	\$0
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STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 3 NAME: Office of Environmental Services

MEANS OF FINANCING:		CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUTYEAR PROJECTIONS			
					FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>								
Direct		\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers		\$250,000	\$0	\$250,000	\$0	\$0	\$0	\$0
Fees & Self-Generated		\$19,790	\$0	\$19,790	\$0	\$0	\$0	\$0
Statutory Dedications *		\$11,032,460	\$0	\$11,032,460	\$0	\$0	\$0	\$0
FEDERAL FUNDS		\$3,423,151	\$0	\$3,423,151	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>		<b>\$14,725,401</b>	<b>\$0</b>	<b>\$14,725,401</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>EXPENDITURES:</b>								
Salaries		\$9,778,176	\$0	\$9,778,176	\$0	\$0	\$0	\$0
Other Compensation		\$0	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits		\$4,447,344	\$0	\$4,447,344	\$0	\$0	\$0	\$0
Travel		\$39,500	\$0	\$39,500	\$0	\$0	\$0	\$0
Operating Services		\$104,157	\$0	\$104,157	\$0	\$0	\$0	\$0
Supplies		\$32,363	\$0	\$32,363	\$0	\$0	\$0	\$0
Professional Services		\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges		\$250,000	\$0	\$250,000	\$0	\$0	\$0	\$0
Debt Services		\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers		\$47,861	\$0	\$47,861	\$0	\$0	\$0	\$0
Acquisitions		\$26,000	\$0	\$26,000	\$0	\$0	\$0	\$0
Major Repairs		\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED		\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>		<b>\$14,725,401</b>	<b>\$0</b>	<b>\$14,725,401</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>POSITIONS</b>								
Classified		158	0	158	0	0	0	0
Unclassified		0	0	0	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>		<b>158</b>	<b>0</b>	<b>158</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS		0	0	0	0	0	0	0
NON-TO FTE POSITIONS		0	0	0	0	0	0	0
<b>TOTAL POSITIONS</b>		<b>158</b>	<b>0</b>	<b>158</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>* Statutory Dedications:</b>								
Hazardous Waste Site Cleanup Fund (Q01)		\$0	\$0	\$0	\$0	\$0	\$0	\$0
Environmental Trust Fund (Q02)		\$9,353,468	\$0	\$9,353,468	\$0	\$0	\$0	\$0
Clean Water State Revolving Fund (Q03)		\$1,300,000	\$0	\$1,300,000	\$0	\$0	\$0	\$0
Motor Fuels Underground Tank (Q05)		\$0	\$0	\$0	\$0	\$0	\$0	\$0
Waste Tire Management Fund (Q06)		\$303,992	\$0	\$303,992	\$0	\$0	\$0	\$0
Lead Hazard Reduction Fund (Q07)		\$75,000	\$0	\$75,000	\$0	\$0	\$0	\$0
Oil Spill Contingency Fund (V01)		\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]		\$0	\$0	\$0	\$0	\$0	\$0	\$0

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STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 3 NAME: Office of Environmental Services

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$0	\$0	\$0	\$0

EXPENDITURES:						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

OVER / (UNDER)	\$0	\$0	\$0	\$0	\$0	\$0
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STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 4 NAME: Office of Management & Finance

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUTYEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>							
Direct	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$5,000	\$0	\$5,000	\$0	\$0	\$0	\$0
Statutory Dedications *	\$47,421,892	\$1,824,527	\$49,246,419	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$3,602,437	\$0	\$3,602,437	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$51,029,329</b>	<b>\$1,824,527</b>	<b>\$52,853,856</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>EXPENDITURES:</b>							
Salaries	\$2,822,216	\$0	\$2,822,216	\$0	\$0	\$0	\$0
Other Compensation	\$211,043	\$0	\$211,043	\$0	\$0	\$0	\$0
Related Benefits	\$5,070,948	\$0	\$5,070,948	\$0	\$0	\$0	\$0
Travel	\$11,500	\$0	\$11,500	\$0	\$0	\$0	\$0
Operating Services	\$981,506	\$0	\$981,506	\$0	\$0	\$0	\$0
Supplies	\$113,018	\$0	\$113,018	\$0	\$0	\$0	\$0
Professional Services	\$1,603,267	\$0	\$1,603,267	\$0	\$0	\$0	\$0
Other Charges	\$27,452,569	\$1,824,527	\$29,277,096	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$12,763,262	\$0	\$12,763,262	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$51,029,329</b>	<b>\$1,824,527</b>	<b>\$52,853,856</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>POSITIONS</b>							
Classified	52	0	52	0	0	0	0
Unclassified	0	0	0	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>52</b>	<b>0</b>	<b>52</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	0	0	0	0	0	0	0
NON-TO FTE POSITIONS	0	0	0	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>52</b>	<b>0</b>	<b>52</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>* Statutory Dedications:</b>							
Hazardous Waste Site Cleanup Fund (Q01)	\$190,000	\$0	\$190,000	\$0	\$0	\$0	\$0
Environmental Trust Fund (Q02)	\$20,629,167	\$0	\$20,629,167	\$0	\$0	\$0	\$0
Clean Water State Revolving Fund (Q03)	\$277,000	\$0	\$277,000	\$0	\$0	\$0	\$0
Motor Fuels Underground Tank (Q05)	\$15,649,485	\$0	\$15,649,485	\$0	\$0	\$0	\$0
Waste Tire Management Fund (Q06)	\$10,676,240	\$1,824,527	\$12,500,767	\$0	\$0	\$0	\$0
Oil Spill Contingency Fund (V01)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0

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STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 4 NAME: Office of Management & Finance

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$0	\$1,824,527	\$0	\$1,824,527

EXPENDITURES:						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$1,824,527	\$0	\$1,824,527
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$1,824,527</b>	<b>\$0</b>	<b>\$1,824,527</b>

OVER / (UNDER)	\$0	\$0	\$0	\$0	\$0	\$0
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STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 5 NAME: Office of Environmental Assessment

MEANS OF FINANCING:	CURRENT	REQUESTED	REVISED	ADJUSTMENT OUTYEAR PROJECTIONS			
	FY 2017-2018	ADJUSTMENT	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
GENERAL FUND BY:							
Direct	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$70,829	\$0	\$70,829	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Statutory Dedications *	\$20,267,501	\$0	\$20,267,501	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$8,718,692	\$0	\$8,718,692	\$0	\$0	\$0	\$0
TOTAL MOF	\$29,057,022	\$0	\$29,057,022	\$0	\$0	\$0	\$0
EXPENDITURES:							
Salaries	\$10,736,523	\$0	\$10,736,523	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$4,936,909	\$0	\$4,936,909	\$0	\$0	\$0	\$0
Travel	\$106,113	\$0	\$106,113	\$0	\$0	\$0	\$0
Operating Services	\$791,821	\$0	\$791,821	\$0	\$0	\$0	\$0
Supplies	\$236,017	\$0	\$236,017	\$0	\$0	\$0	\$0
Professional Services	\$743,747	\$0	\$743,747	\$0	\$0	\$0	\$0
Other Charges	\$7,590,851	\$0	\$7,590,851	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$530,905	\$0	\$530,905	\$0	\$0	\$0	\$0
Acquisitions	\$3,384,136	\$0	\$3,384,136	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL EXPENDITURES	\$29,057,022	\$0	\$29,057,022	\$0	\$0	\$0	\$0
POSITIONS							
Classified	182	0	182	0	0	0	0
Unclassified	0	0	0	0	0	0	0
TOTAL T.O. POSITIONS	182	0	182	0	0	0	0
OTHER CHARGES POSITIONS	0	0	0	0	0	0	0
NON-TO FTE POSITIONS	0	0	0	0	0	0	0
TOTAL POSITIONS	182	0	182	0	0	0	0
* Statutory Dedications:							
Hazardous Waste Site Cleanup Fund (Q01)	\$4,220,337	\$0	\$4,220,337	\$0	\$0	\$0	\$0
Environmental Trust Fund (Q02)	\$14,140,419	\$0	\$14,140,419	\$0	\$0	\$0	\$0
Clean Water State Revolving Fund (Q03)	\$1,716,000	\$0	\$1,716,000	\$0	\$0	\$0	\$0
Motor Fuels Underground Tank (Q05)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Waste Tire Management Fund (Q06)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Lead Hazard Reduction Fund (Q07)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Oil Spill Contingency Fund (V01)	\$190,745	\$0	\$190,745	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 5 NAME: Office of Environmental Assessment

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$0	\$0	\$0	\$0
<b>EXPENDITURES:</b>						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>OVER / (UNDER)</b>						
	\$0	\$0	\$0	\$0	\$0	\$0

## **QUESTIONNAIRE ANALYSIS**

13-856 Office of Environmental Quality  
BA-7 856-FY18-02

### **GENERAL PURPOSE**

Waste tire processor projected payment requests for FY 18 are higher than earlier projections and LDEQ may not be able to process the payments due to the budget ceiling. Therefore, this BA-7 is to increase the budget to reflect projected waste tire processor payment requests for FY 18.

### **REVENUE**

Waste Tire Management Fund (Q06) - \$1,824,527

### **EXPENDITURES**

Other Charges - \$1,824,527

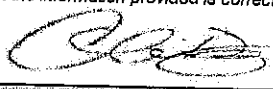
### **OTHER**

Karyn Andrews, Undersecretary, (225) 219-3845, [karyn.andrews@la.gov](mailto:karyn.andrews@la.gov)  
Theresa Delafosse, Accountant Administrator, (225) 219-3865, [theresa.delafosse@la.gov](mailto:theresa.delafosse@la.gov)

	FY 06	FY 07	FY 08	FY 09	FY 10	FY 11	FY 12	FY 13	FY 14	FY 15	FY 16	FY 17	Year End Cash Projection FY18
Cash Beginning Balance	1,261,930.39	2,896,996.63	2,410,920.67	1,585,936.12	1,393,207.16	511,605.41	300,000.00	129,407.51	360,266.48	471,168.02	3,145,803.97	1,243,758.39	1,243,758.39
REC Forecast:													
Revenue:													
Fee Collections	11,176,757.72	11,338,927.94	10,823,883.13	10,200,363.67	10,120,749.20	10,611,584.54	10,679,640.99	10,737,241.67	11,116,601.87	11,247,523.71	11,511,342.05	11,746,661.62	12,016,000.00
Late/Non-filling Fees													12,016,000.00
Interest	62,227.00	105,302.00	100,553.00	36,915.00	10,436.00	4,695.00	1,797.00	1,143.00	872.00	738.00	6,557.00	16,297.00	10,000.00
General Fund/Overcollections Fund to Pay													
Processors													
Cash Sweep	(489,315.00)	-	3,544,348.00	700,000.00	900,000.00	-	-	-	-	-	-	-	
Total Income	10,749,669.72	14,988,577.94	11,624,436.13	11,137,278.67	10,131,185.20	10,616,279.54	10,681,437.99	10,738,384.67	11,117,473.87	10,699,300.71	10,983,849.05	11,016,018.42	12,026,000.00
CASH AVAILABLE	10,322,581.72	18,638,227.94	12,424,989.13	12,074,193.67	10,141,621.20	10,620,974.54	10,683,234.99	10,739,527.67	11,246,881.38	11,059,567.19	11,455,017.07	14,161,822.39	13,269,758.39
Expenses:													
Administrative	591,069.90	595,495.02	632,024.54	732,062.84	880,884.48	976,278.37	915,693.51	898,682.85	997,283.35	1,124,752.37	1,151,134.21	1,133,495.14	1,201,600.00
Processors - Regular	8,523,533.58	14,827,079.13	10,733,749.05	10,383,862.92	9,443,029.68	10,521,602.92	9,977,349.89	10,010,294.31	9,889,331.55	9,463,646.80	7,156,321.39	11,761,293.86	11,300,000.00
Processors - Arrears													657,691.44
Contract	-	-	52,079.75	-	-	-	-	-	-	-	1,757.50	23,275.00	250,000.00
Special Projects	-	-	854,970.59	250,029.41	-	-	-	-	-	-	-	-	
New Market Development													
Total Expenses	9,114,603.48	15,474,653.90	12,220,744.18	11,365,955.17	10,323,914.16	11,497,881.29	10,893,043.40	10,908,977.16	10,886,614.90	10,588,999.17	8,309,213.10	12,918,064.00	13,409,291.44
CURRENT BUDGET													11,435,232.00
MAXIMUM BUDGET													13,259,759.00
Cash Balance	2,896,996.63	2,410,920.67	1,814,612.62	1,585,936.12	1,393,207.16	511,605.41	300,000.00	129,407.51	360,266.48	471,168.02	3,145,803.97	1,243,758.39	(139,533.05)
Budget Balance with Amendment													(149,532.44)
Budget Balance w/o Amendment													(1,974,059.44)
Reserved Fund Balance:													
5% for New Market - Current Year	558,837.89	566,946.40	537,802.56	-	-	-	-	-	-	-	-	-	-
Prior Year 5% for New Market	926,748.76	1,485,586.65	1,197,562.46	1,485,335.61	1,271,223.01	500,000.00	300,000.00		-	-	-	-	-
Ending Cash Balance Available	\$ 1,141,409.98	\$ 358,387.62	\$ 79,247.60	\$ 100,600.51	\$ 121,984.15	\$ 11,605.41	\$ (0.00)	\$ 129,407.51	\$ 360,266.48	\$ 471,168.02	\$ 3,145,803.97	\$ 1,243,758.39	
Administrative Cost % of Collections	5.29%	5.25%	5.84%	7.18%	8.70%	9.20%	8.57%	8.37%	8.97%	10.00%	10.00%	9.65%	
Processor Payments:													
Benson	1,566,915.36	2,391,260.76	1,887,694.58	1,667,584.36	668,534.87	1,136,226.36	801,788.09	889,043.21	825,194.34	837,169.59	1,043,967.70	998,473.88	314,865.31
Colt	2,215,287.15	2,987,702.50	3,055,442.00	2,864,557.65	3,643,972.40	4,165,040.52	4,486,025.08	4,313,097.00	4,602,717.00	4,715,503.50	4,169,853.23	2,379,449.75	-
Cottonport	2,614,032.49	4,506,554.88	3,068,972.97	2,812,719.81	1,889,636.16	2,310,998.17	2,589,015.64	1,925,945.25	1,094,289.71	485,024.10	-	-	-
EIR	2,127,298.58	3,525,660.36	2,233,812.00	2,434,656.00	3,176,218.50	2,738,269.27	1,814,639.05	2,208,767.68	3,027,142.50	2,785,998.00	903,159.30	6,157,021.24	1,926,221.29
LA Elastomer	-	-	195,018.25	555,567.00	413,460.75	692,136.72	606,866.59	500,513.09	414,074.50	147,793.50	-	97,857.98	-
Franklin Rubber													471,602.88
ARREARS													657,691.44
Total:	\$ 8,523,533.58	\$ 14,827,079.13	\$ 10,733,749.05	\$ 10,383,862.92	\$ 9,443,029.68	\$ 10,521,602.92	\$ 9,977,349.89	\$ 10,010,294.31	\$ 9,889,331.55	\$ 9,463,646.80	\$ 7,156,321.39	\$ 11,761,293.86	\$ 5,749,830.67



STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

DEPARTMENT: Executive Department		FOR OPB USE ONLY							
AGENCY: GOHSEP		OPB LOG NUMBER 194		AGENDA NUMBER 5					
SCHEDULE NUMBER: 01-111		Approval and Authority:							
SUBMISSION DATE: December 21, 2017									
AGENCY BA-7 NUMBER: 15-111-03									
HEAD OF BUDGET UNIT: James Waskom									
TITLE: Director									
SIGNATURE (Certifies that the information provided is correct and true to the best of your knowledge): 									
MEANS OF FINANCING		CURRENT FY 2017-2018		ADJUSTMENT (+) or (-)		REVISED FY 2017-2018			
GENERAL FUND BY:									
DIRECT		\$26,184,744				\$26,184,744			
INTERAGENCY TRANSFERS		\$5,254,256				\$5,254,256			
FEES & SELF-GENERATED		\$245,944		\$23,064,113		\$23,310,057			
STATUTORY DEDICATIONS									
[Select Statutory Dedication]									
[Select Statutory Dedication]									
Subtotal of Dedications from Page 2									
FEDERAL		\$975,553,279				\$975,553,279			
TOTAL		\$1,007,238,223		\$23,064,113		\$1,030,302,336			
AUTHORIZED POSITIONS		53				53			
AUTHORIZED OTHER CHARGES		335				335			
NON-TO FTE POSITIONS									
TOTAL POSITIONS		388				388			
PROGRAM EXPENDITURES		DOLLARS		POS		DOLLARS		POS	
PROGRAM NAME:									
100 - Administrative		\$1,007,238,223		388		\$23,064,113			
Subtotal of programs from Page 2:									
TOTAL		\$1,007,238,223		388		\$23,064,113			

**STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

Policy and Procedure Memorandum No. 52, Revised, requires that all Requests for Changes in Appropriation be fully documented. At a minimum, the following questions and statements must be answered. Use Continuation Sheets as needed. **FAILURE TO ANSWER ALL QUESTIONS COMPLETELY WILL BE CAUSE TO RETURN THIS DOCUMENT WITHOUT ACTION.**

1. What is the source of funding (if other than General Fund (Direct))? Specifically identify any grant or public law and the purposes of the funds, if applicable. A copy of any grant application and the notice of approved grant or appropriation must accompany the BA-7. What are the expenditure restrictions of the funds?

**The source of funding for this is Fees and Self-Generated Revenues related to Emergency Management Assistance Compact (EMAC) missions. These funds will reimburse Louisiana for expenses incurred during emergency responses for other states.**

2. Enter the financial impact of the requested adjustment for the next four fiscal years.

MEANS OF FINANCING OR EXPENDITURE	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
GENERAL FUND BY:					
DIRECT					
INTERAGENCY TRANSFERS					
FEES & SELF-GENERATED	\$23,064,113	(\$23,064,113)			
STATUTORY DEDICATIONS					
FEDERAL					
<b>TOTAL</b>	<b>\$23,064,113</b>	<b>(\$23,064,113)</b>			

3. If this action requires additional personnel, provide a detailed explanation below:

**This action will not require additional personnel.**

4. Explain why this request can't be postponed for consideration in the agency's budget request for next fiscal year.

**This request is to allow GOHSEP to receive funds from other states that were impacted by recent hurricane events, through the Emergency Management Assistance Compact (EMAC) agreement. This will allow for the repayment (or pass through) of expenses incurred by Louisiana state and local agencies for emergency responses in support of those requesting states, in addition to expenses incurred by GOHSEP. See Attachment A for further details.**

5. Is this an after the fact BA-7, e.g., have expenditures been made toward the program this BA-7 is for? If yes, explain per PPM No.52.

**This BA-7 is not after the fact.**

**STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PERFORMANCE IMPACT OF MID-YEAR BUDGET ADJUSTMENT**

1. Identify and explain the programmatic impacts (positive or negative) that will result from the approval of this BA-7.

This request is to allow GOHSEP to receive funds from other states that were impacted by recent hurricane events, through the Emergency Management Assistance Compact (EMAC) agreement. This will allow for the repayment (or pass through) of expenses incurred by Louisiana state and local agencies for emergency responses in support of those requesting states, in addition to expenses incurred by GOHSEP. See Attachment A for further details.

2. Complete the following information for each objective and related performance indicators that will be affected by this request. (Note: Requested adjustments may involve revisions to existing objectives and performance indicators or creation of new objectives and performance indicators. Repeat this portion of the request form as often as necessary.)

OBJECTIVE:

LEVEL	PERFORMANCE INDICATOR NAME	PERFORMANCE STANDARD		
		CURRENT FY 2017-2018	ADJUSTMENT (+) OR (-)	REVISED FY 2017-2018
	Not applicable.			

JUSTIFICATION FOR ADJUSTMENT(S): Explain the necessity of the adjustment(s).

3. Briefly explain any performance impacts other than or in addition to effects on objectives and performance indicators. (For example: Are there any anticipated direct or indirect effects on program management or service recipients? Will this BA-7 have a positive or negative impact on some other program or agency?)

Not applicable.

4. If there are no performance impacts associated with this BA-7 request, then fully explain this lack of performance impact.

Not applicable.

5. Describe the performance impacts of failure to approve this BA-7. (Be specific. Relate performance impacts to objectives and performance indicators.)

Failure to approve this BA-7 will result in GOHSEP not having the required budget authority to receive these funds and repay other agencies.

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 1 NAME: **ADMINISTRATIVE**

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUT-YEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>							
Direct	\$26,184,744		\$26,184,744				
Interagency Transfers	\$5,254,256		\$5,254,256				
Fees & Self-Generated	\$245,944	\$23,064,113	\$23,310,057	(\$23,064,113)			
Statutory Dedications *							
<b>FEDERAL FUNDS</b>	\$975,553,279		\$975,553,279				
<b>TOTAL MOF</b>	<b>\$1,007,238,223</b>	<b>\$23,064,113</b>	<b>\$1,030,302,336</b>	(\$23,064,113)			
<b>EXPENDITURES:</b>							
Salaries	\$3,704,866		\$3,704,866				
Other Compensation							
Related Benefits	\$1,705,875		\$1,705,875				
Travel							
Operating Services							
Supplies	\$684,225		\$684,225				
Professional Services							
Other Charges	\$972,592,143	\$23,064,113	\$995,656,256	(\$23,064,113)			
Debt Services	\$24,625,450		\$24,625,450				
Interagency Transfers	\$3,925,664		\$3,925,664				
Acquisitions							
Major Repairs							
<b>UNALLOTTED</b>							
<b>TOTAL EXPENDITURES</b>	<b>\$1,007,238,223</b>	<b>\$23,064,113</b>	<b>\$1,030,302,336</b>	(\$23,064,113)			
<b>POSITIONS</b>							
Classified							
Unclassified	53		53				
<b>TOTAL T.O. POSITIONS</b>	<b>53</b>		<b>53</b>				
<b>OTHER CHARGES POSITIONS</b>	<b>335</b>		<b>335</b>				
<b>NON-TO FTE POSITIONS</b>							
<b>TOTAL POSITIONS</b>	<b>388</b>		<b>388</b>				
<b>* Statutory Dedications:</b>							
[Select Statutory Dedication]							
[Select Statutory Dedication]							
[Select Statutory Dedication]							



STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 1 NAME: ADMINISTRATIVE

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT			\$23,064,113			\$23,064,113

<b>EXPENDITURES:</b>						
Salaries						
Other Compensation						
Related Benefits						
Travel						
Operating Services						
Supplies						
Professional Services						
Other Charges			\$23,064,113			\$23,064,113
Debt Services						
Interagency Transfers						
Acquisitions						
Major Repairs						
UNALLOTTED						
<b>TOTAL EXPENDITURES</b>			\$23,064,113			\$23,064,113

<b>OVER / (UNDER)</b>						
-----------------------	--	--	--	--	--	--

<b>POSITIONS</b>						
Classified						
Unclassified						
<b>TOTAL T.O. POSITIONS</b>						
<b>OTHER CHARGES POSITIONS</b>						
<b>NON-TO FTE POSITIONS</b>						
<b>TOTAL POSITIONS</b>						

## BA-7 QUESTIONNAIRE

### GENERAL PURPOSE

1. The general purpose of BA-7 #15-111-03 is to allow GOHSEP to receive funds from other states that were impacted by recent hurricane events, through the Emergency Management Assistance Compact (EMAC) agreement. This will allow for the repayment (or pass through) of expenses incurred by Louisiana state and local agencies for emergency responses in support of those requesting states, in addition to expenses incurred by GOHSEP.

### REVENUES

2. GOHSEP is currently appropriated \$245,944 in Fees and Self-Generated Revenues. Approval of this BA-7 will increase this amount to \$23,310,057.

### EXPENDITURES

9. The Other Charges expenditure category will be adjusted as a result of this BA-7.

11.	OBJECT	DESCRIPTION	AMOUNT	MOF
	5045	Other Charges - Other Public Assistance/Grants	\$23,054,113	F&SGR
		TOTAL	\$23,054,113	

### OTHER

12. Christina Dayries  
Deputy Director, Grants and Administration  
225.358.5899  
christina.dayries@la.gov

Chad Felterman  
Budget Director  
225.925.1873  
Chad.Felتمان@la.gov

GOHSEP Emergency Management Assistance Compact - EMAC  
Summary of Assistance to Other States - FY 2017/2018  
BA-7 #15-111-03 Attachment A

Assisting State Mission #	Requesting State	Event Name	Mission Assignment	State or Local Agency	Rept Category #	EOS EMAC Mission #	Date Deployed	Release Date	State FY of Expenses July 1 - June 30	Claim Estimate
0817-048	Texas	Hurricane Harvey	GOHSEP 2 - EMAC A-Team members Miranda Turner and Michele Asonye	State	01TX	1262-RR-6288	8/25/2017	9/9/2017	FY17/18	20,390.52
0817-049	Texas	Hurricane Harvey	LA Dept. of Wildlife & Fisheries - 1 Alfa SAR Team 10 boats, 10 agents, 10 trucks	State	01T5	1262-RR-6315	8/25/2017	9/1/2017	FY17/18	109,183.20
0817-050	Texas	Hurricane Harvey	LA Dept. of Wildlife & Fisheries - 2 Alfa SAR Team 30 boats, 30 agents, 30 trucks	State	01T6	1262-RR-6328	8/26/2017	9/2/2017	FY17/18	332,858.40
0817-051	Texas	Hurricane Harvey	LA Dept. of Wildlife & Fisheries - SAR Team 25 shallow draft boats, 33 agents, 29 3/4 ton trucks, 4 airboats	State	02T3	1262-RR-6493	8/30/2017	9/6/2017	FY17/18	358,267.42
0817-052	Texas	Hurricane Harvey	Sheriff Association support for Law Enforcement to backfill Texas law enforcement	Local	01T8	1262-RR-6469	8/30/2017	9/14/2017	FY17/18	491,608.00
0817-053	Texas	Hurricane Harvey	GOHSEP Forward Command Post for Evacuees - Orange TX	State	02T4	1262-RR-6496	8/30/2017	9/5/2017	FY17/18	11,220.88
0817-054	Texas	Hurricane Harvey	State Fire Marshal - Provide local law enforcement agencies with assistance in conducting law enforcement and security operations. Conduct swift, surface, and flood water rescues. Conduct US&R Search and recovery along with emergency assessment of structures for safety and reenter with Port Arthur, Texas.	State and Local	02TX	1262-RR-6491	8/30/2017	9/12/2017	FY17/18	3,898,469.88
0817-055	Texas	Hurricane Harvey	Host State Shelter Mission - Alexandria Mega Shelter & Alexandria Medical Special Needs Shelter, capacity 2500 and staging sites	State	02T1	1262-RR-6497	8/26/2017	9/8/2017	FY17/18	3,950,871.63
0817-056	Texas	Hurricane Harvey	LDAF Provide fuel and fuel dispensers for search and rescue and for transportation of citizens and pets to shelters.	State	02T9	1262-RR-6501	8/29/2017	9/11/2017	FY17/18	311,955.22
0817-057	Texas	Hurricane Harvey	Pet Sheltering - LDAF Pet Sheltering Operations for Texas Evacuees - Pet shelters locations Alexandria Mega Shelter, Monroe/Bastrop Shelter and Shreveport Houghton CTN Pet Shelter. Transportation of pets from Lake Charles to shelters.	State	02T5	1262-RR-6506	8/30/2017	9/10/2017	FY17/18	1,662,950.88
0817-058	Texas	Hurricane Harvey	LA National Guard conduct Search & Rescue, Sheltering, Security, Communications, (MEOC, MCC and ASOS), Transportation, Logistics, Command & Control support (TAC, JOC, ULE, LMD, BN & BDE) and other support missions.	State	02T8	1262-RR-6805	8/30/2017	9/12/2017	FY17/18	707,527.60
0817-059	Texas	Hurricane Harvey	LA National Guard provided Air Medical Supply movement, conducted Search and Rescue for Texas - Port Arthur/Beaumont impacted by Hurricane Harvey.	State	02T2	1262-RR-6494	8/30/2017	9/12/2017	FY17/18	36,599.58
0817-060	Texas	Hurricane Harvey	GOHSEP - Liaison Officers TX EOC Jim Ballow & Derick Hesson	State	01T9	1262-RR-6498	9/1/2017	9/15/2017	FY17/18	13,937.84

Assisting State Mission #	Requesting State	Event Name	Mission Assignment	State or Local Agency	Rept Category #	EOS EMAC Mission #	Date Deployed	Release Date	State FY of Expenses July 1 - June 30	Claim Estimate
0817-061	Texas	Hurricane Harvey	Host State Shelter Mission - Jewella Shelter, 8810 Jewella Ave, Shreveport 2000 capacity	State	02T6	1262-RR-6504	8/30/2017	9/10/2017	FY17/18	3,304,057.58
0817-062	Texas	Hurricane Harvey	Dept. of Corrections support Search & Rescue 10 officers, 5 vehicles, 4 boats	State	02T7	1262-RR-6505	8/31/2017	9/12/2017	FY17/18	179,378.00
0817-063	Texas	Hurricane Harvey	GOHSEP Planning Officer Collins Simoneaux	State	01T0	1262-RR-6507	9/2/2017	9/16/2017	FY17/18	11,274.40
0817-064	Texas	Hurricane Harvey	Search & Rescue San Jacinto County - Sheriff - Ascension & St. James - Ascension Sheriff 15 officers, 2 boats, 13 vehicles, mobile command center, cook trailer, bunkhouse field sleeping quarter. St. Mary Parish 3 officers 1 boat, 2 vehicles.	Local	02T0	1262-RR-6489	8/28/2017	9/16/2017	FY17/18	235,921.16
0917-065	Georgia	Hurricane Irma	GOSHEP 1 person EMAC A-Team Nathan Gary	State	01GA	1278-RR-6162	9/8/2017	9/16/2017	FY17/18	7,382.00
0917-066	Florida	Hurricane Irma	USAR - State Fire Marshal - 1 Type III USAR (50 rescue specialist, 3 Canine Search Specialist, 2 Medical Specialist, 5 Operations Team)	State and Local	01F2	1271-RR-6546	9/8/2017	9/23/2017	FY17/18	353,883.48
0917-068	Florida	Hurricane Irma	IMT State Fire Marshal Office - (Type III EOC (8) support Team; IMT Commander, Operations chief, Planning chief, Logistics chief, Finance/Admin chief, Safety Officer, Public Info Officer, Medical Manager)	State	01F4	1271-RR-6561	9/10/2017	9/26/2017	FY17/18	84,840.80
0917-069	Florida	Hurricane Irma	LA Wildlife & Fisheries - Water Rescue Teams (50 swiftwater rescue personnel, 50 boats, 1 command center, 3 fuel trailers)	State	01F5	1271-RR-6559	9/10/2017	9/20/2017	FY17/18	991,162.70
0917-070	Florida	Hurricane Irma	LA - One Engineer CO (LA) 159 PAX with current MTOE to provide mission command and coordination of subordinate platoons to conduct repair, maintenance and construction of air/ground Lines of Communication, emplacement of culverts, hauling, force protection and limited clearing operations. PLT's conduct borrow pit operations, structure reductions, lift, load, and haul support for Class IV material and rubble. JROSI Camp Blanding in support of 53rd BCT.	State	01F6	1271-RR-6597	9/11/2017	10/11/2017	FY17/18	123,442.49
0917-071	Florida	Hurricane Irma	LA Office of State Fire Marshal - 2 Type III US&R w/swiftwater rescue	State	01F7	1271-RR-6608	9/10/2017	9/20/2017	FY17/18	298,387.48
0917-075	Florida	Hurricane Irma	DHH nurses and ancillary staff for shelters located in Florida to assist with the provision of nursing care services.	State	01F9	1271-RR-6682	9/15/2017	9/26/2017	FY17/18	972,365.28
0917-076	Florida	Hurricane Irma	GOHSEP Public Assistance Team Margaret Owen and Jim Richard to assist the state of Florida as subject Matter Experts in Preliminary Damage Assessments, Categories A-G Work, Debris Management, Vector Control, Beaches, Environmental, Historical Preservation, and Engineers.	State	01F8	1271-RR-6722	9/20/2017	10/20/2017	FY17/18	56,540.00



Assisting State Mission #	Requesting State	Event Name	Mission Assignment	State or Local Agency	Rept Category #	EOS EMAC Mission #	Date Deployed	Release Date	State FY of Expenses July 1 - June 30	Claim Estimate
0917-077	USVI	Hurricane Ima	GOHSEP EMAC A-Team Victoria Carpenter, Miranda Turner & Sgt, Maj, Robert Neal Fudge to assist USVI with 2 person EMAC Advance Team A-Team, consisting of (1) civilian & (1) national guard member. This (2) member team will assist VITEMA with drafting, review & processing of mutual aid resource requests within the EMAC EOS web-based system. All efforts will be coordinated through the Virgin Islands Emergency Management Agency (VITEMA). Anticipated mission length is 14 days	State	01V1	1274-RR-6723	9/21/2017	10/5/2017	FY17/18	28,919.10
0917-078	Puerto Rico	Hurricane Maria	LANG-Horizontal Engineer capability & water provision assets - to provide engineer & hydration support in AOR for 30 days. Must be self-sustaining, armed and have organic communications.	State	01P2	1288-RR-6787	9/25/2017	10/26/2017	FY17/18	1,235,145.30
0917-079	Puerto Rico	Hurricane Maria	PR is requesting a Housing Strike Team to assist with planning and development of housing solutions for displaced citizens-GOHSEP and LANG	State	01P4	1288-RR-6802	9/29/2017	10/29/2017	FY17/18	367,068.48
0917-080	Puerto Rico	Hurricane Maria	LANG- Security - MP CO or equivalent to provide wide area security in AOR for 30 days. (1) x Military Police Company or equivalent - must arrive with 5 DOS (MRE's, Water, etc.)	State	01P3	1288-RR-6788	9/26/2017	10/25/2017	FY17/18	1,145,565.20
1017-081	Virgin Island	Hurricane Ima	This (2) member team will assist VITEMA with the drafting, review, and processing of mutual aid resource requests within the EMAC EOS web-based system.	State	01V5	1274-RR-6979	10/27/2017	11/5/2017	FY17/18	11,985.54
1117-082	Virgin Island	Hurricane Maria	EMAC Financial Manager Victoria Carpenter	State	01V6	1306-RR-7051	1/7/2018	1/23/2018	FY17/18	13,779.16
1117-083	Puerto Rico	Hurricane Maria	Nurses & physicians to support shelter operations Extended till 12/8/17	State	01P5	1288-RR-7018	11/13/2017	12/8/2017	FY17/18	1,434,371.18
1117-084	Puerto Rico	Hurricane Maria	10 Person IMT - N.O. Fire	Local	01P6	1288-RR-7039	11/29/2017	12/13/2017	FY17/18	129,194.72
1117-085	Puerto Rico	Hurricane Maria	3 Person Virtual A-Team (Victoria Carpenter, Miranda Turner, Emily Granier)	State	01P7	1288-RR-7077	12/12/2017	12/30/2017	FY17/18	32,994.72
1117-086	USVI	Hurricane Maria	DHH/RSI Pharmacist & Liaison	State	01V7	1306-RR-7057	12/1/2017	1/2/2017	FY17/18	140,613.00
										<b>23,064,112.82</b>

**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

<b>DEPARTMENT: Military Department</b>			<b>FOR OPB USE ONLY</b>			
<b>AGENCY: Military Department</b>			OPB LOG NUMBER <div style="font-size: 1.5em; font-family: cursive;">193</div>		AGENDA NUMBER <div style="font-size: 1.5em; font-family: cursive;">6</div>	
<b>SCHEDULE NUMBER: 8112</b>			Approval and Authority:			
<b>1/3/2018</b>						
<b>AGENCY BA-7 NUMBER: 18-14</b>						
<b>HEAD OF BUDGET UNIT: Glenn H. Curtis</b>						
<b>TITLE: The Adjutant General</b>						
<b>SIGNATURE</b> <small>(Certifies that the information provided is correct and true to the best of your knowledge)</small> 						
<b>MEANS OF FINANCING</b>		<b>CURRENT FY 2017-2018</b>	<b>ADJUSTMENT (+) or (-)</b>		<b>REVISED FY 2017-2018</b>	
<b>GENERAL FUND BY:</b>						
DIRECT		\$36,785,944	\$0		\$36,785,944	
INTERAGENCY TRANSFERS		\$5,604,310	\$0		\$5,604,310	
FEES & SELF-GENERATED		\$5,657,526	\$0		\$5,657,526	
STATUTORY DEDICATIONS		\$158,296	\$0		\$158,296	
Camp Minden Fire Protection Fund (P38)		\$50,000	\$0		\$50,000	
State Emergency Response Fund (V29)		\$108,296	\$0		\$108,296	
Subtotal of Dedications from Page 2		\$0	\$0		\$0	
FEDERAL		\$55,900,209	\$54,670		\$55,954,879	
<b>TOTAL</b>		<b>\$104,106,285</b>	<b>\$54,670</b>		<b>\$104,160,955</b>	
AUTHORIZED POSITIONS		757	2		759	
AUTHORIZED OTHER CHARGES		3	0		3	
NON-TO FTE POSITIONS		60	0		60	
<b>TOTAL POSITIONS</b>		<b>820</b>	<b>2</b>		<b>822</b>	
<b>PROGRAM EXPENDITURES</b>	<b>DOLLARS</b>	<b>POS</b>	<b>DOLLARS</b>	<b>POS</b>	<b>DOLLARS</b>	<b>POS</b>
<b>PROGRAM NAME:</b>						
Military Affairs	\$71,614,908	424	\$54,670	2	\$71,669,578	426
Education	\$32,038,711	391	\$0	0	\$32,038,711	391
Auxillary Account	\$452,666	5	\$0	0	\$452,666	5
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
Subtotal of programs from Page 2:	\$0	0	\$0	0	\$0	0
<b>TOTAL</b>	<b>\$104,106,285</b>	<b>820</b>	<b>\$54,670</b>	<b>2</b>	<b>\$104,160,955</b>	<b>822</b>

**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

<b>DEPARTMENT:</b> Military Department	<b>FOR OPB USE ONLY</b>	
<b>AGENCY:</b> Military Department	<b>OPB LOG NUMBER</b>	<b>AGENDA NUMBER</b>
<b>SCHEDULE NUMBER:</b> 8112		
<b>1/3/2018</b>	<b>ADDENDUM TO PAGE 1</b>	
<b>AGENCY BA-7 NUMBER:</b> 18-14		

Use this section for additional Statutory Dedications, if needed.  
The subtotal will automatically be transferred to Page 1.

MEANS OF FINANCING	CURRENT FY 2017-2018	ADJUSTMENT (+) or (-)	REVISED FY 2017-2018
<b>GENERAL FUND BY:</b>			
<b>STATUTORY DEDICATIONS</b>			
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
<b>SUBTOTAL (to Page 1)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

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Use this section for additional Program Names, if needed.  
The subtotal will automatically be transferred to Page 1.

PROGRAM EXPENDITURES	DOLLARS	POS	DOLLARS	POS	DOLLARS	POS
<b>PROGRAM NAME:</b>						
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
<b>SUBTOTAL (to Page 1)</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>0</b>

**STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

Policy and Procedure Memorandum No. 52, Revised, requires that all Requests for Changes in Appropriation be fully documented. At a minimum, the following questions and statements must be answered. Use Continuation Sheets as needed. **FAILURE TO ANSWER ALL QUESTIONS COMPLETELY WILL BE CAUSE TO RETURN THIS DOCUMENT WITHOUT ACTION.**

1. What is the source of funding (if other than General Fund (Direct))? Specifically identify any grant or public law and the purposes of the funds, if applicable. A copy of any grant application and the notice of approved grant or appropriation must accompany the BA-7. What are the expenditure restrictions of the funds?

**The source of funding for these positions are federal through the Security Cooperative Agreement. The funds will be used to fund a Visitor Control Center (VCC) Coordinator and a Visitor Control Center Clerk. These personnel will have access to the National Crime Information Center (NCIC) database and perform access control checks on all personnel entering one of our installations that have not been previously vetted. They will also perform NCIC checks on all contractors working on our armories statewide. The expenditure of the funds received for this project will be limited to the functions of their duties and any support requirements that arise thereof.**

2. Enter the financial impact of the requested adjustment for the next four fiscal years.

MEANS OF FINANCING OR EXPENDITURE	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>					
DIRECT	\$0	\$0	\$0	\$0	\$0
INTERAGENCY TRANSFERS	\$0	\$0	\$0	\$0	\$0
FEES & SELF-GENERATED	\$0	\$0	\$0	\$0	\$0
STATUTORY DEDICATIONS	\$0	\$0	\$0	\$0	\$0
FEDERAL	\$54,670	\$122,586	\$126,887	\$131,360	\$136,012
<b>TOTAL</b>	<b>\$54,670</b>	<b>\$122,586</b>	<b>\$126,887</b>	<b>\$131,360</b>	<b>\$136,012</b>

3. If this action requires additional personnel, provide a detailed explanation below:

**Requires that addition of 2 personnel to perform the National Crime Information Center (NCIC) checks on all non-vetted personnel entering our installations.**

4. Explain why this request can't be postponed for consideration in the agency's budget request for next fiscal year.

**Federal funds for the positions were allocated during Federal Fiscal Year 2018. If we don't spend them this year then we run the risk of not being renewed for additional funds in subsequent years.**

5. Is this an after the fact BA-7, e.g.; have expenditures been made toward the program this BA-7 is for? If yes, explain per PPM No.52.

**No**



**STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PERFORMANCE IMPACT OF MID-YEAR BUDGET ADJUSTMENT**

1. Identify and explain the programmatic impacts (positive or negative) that will result from the approval of this BA-7.

**The approval of this BA7 will have a positive impact on the Military Affairs Department in FY18 and subsequent FY's through improving the overall security posture of the National Guard.**

2. Complete the following information for each objective and related performance indicators that will be affected by this request. *(Note: Requested adjustments may involve revisions to existing objectives and performance indicators or creation of new objectives and performance indicators. Repeat this portion of the request form as often as necessary.)*

OBJECTIVE: N/A

LEVEL	PERFORMANCE INDICATOR NAME	PERFORMANCE STANDARD		
		CURRENT FY 2017-2018	ADJUSTMENT (+) OR (-)	REVISED FY 2017-2018

JUSTIFICATION FOR ADJUSTMENT(S): Explain the necessity of the adjustment(s).

3. Briefly explain any performance impacts other than or in addition to effects on objectives and performance indicators. *(For example: Are there any anticipated direct or indirect effects on program management or service recipients? Will this BA-7 have a positive or negative impact on some other program or agency?)*

**N/A**

4. If there are no performance impacts associated with this BA-7 request, then fully explain this lack of performance impact.

**N/A**

5. Describe the performance impacts of failure to approve this BA-7. (Be specific. Relate performance impacts to objectives and performance indicators.)

**N/A**



STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 1 NAME: MILITARY AFFAIRS

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUTYEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
GENERAL FUND BY:							
Direct	\$29,789,405	\$0	\$29,789,405	\$0	\$0	\$0	\$0
Interagency Transfers	\$3,681,788	\$0	\$3,681,788	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$5,054,022	\$0	\$5,054,022	\$0	\$0	\$0	\$0
Statutory Dedications *	\$158,296	\$0	\$158,296	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$32,931,397	\$54,670	\$32,986,067	\$122,586	\$126,887	\$131,360	\$136,012
<b>TOTAL MOF</b>	<b>\$71,614,908</b>	<b>\$54,670</b>	<b>\$71,669,578</b>	<b>\$122,586</b>	<b>\$126,887</b>	<b>\$131,360</b>	<b>\$136,012</b>

EXPENDITURES:							
Salaries	\$16,807,108	\$25,682	\$16,832,790	\$77,161	\$80,248	\$83,458	\$86,796
Other Compensation	\$582,609	\$0	\$582,609	\$0	\$0	\$0	\$0
Related Benefits	\$8,115,549	\$15,320	\$8,130,869	\$45,425	\$46,639	\$47,902	\$49,216
Travel	\$169,470	\$0	\$169,470	\$0	\$0	\$0	\$0
Operating Services	\$15,686,553	\$0	\$15,686,553	\$0	\$0	\$0	\$0
Supplies	\$3,083,846	\$0	\$3,083,846	\$0	\$0	\$0	\$0
Professional Services	\$2,540,459	\$0	\$2,540,459	\$0	\$0	\$0	\$0
Other Charges	\$11,857,067	\$0	\$11,857,067	\$0	\$0	\$0	\$0
Debt Services	\$2,378,080	\$0	\$2,378,080	\$0	\$0	\$0	\$0
Interagency Transfers	\$4,872,654	\$0	\$4,872,654	\$0	\$0	\$0	\$0
Acquisitions	\$1,661,238	\$13,668	\$1,674,906	\$0	\$0	\$0	\$0
Major Repairs	\$3,860,275	\$0	\$3,860,275	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$71,614,908</b>	<b>\$54,670</b>	<b>\$71,669,578</b>	<b>\$122,586</b>	<b>\$126,887</b>	<b>\$131,360</b>	<b>\$136,012</b>

POSITIONS							
Classified	2	0	2	0	0	0	0
Unclassified	395	2	397	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>397</b>	<b>2</b>	<b>399</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	0	0	0	0	0	0	0
NON-TO FTE POSITIONS	27	0	27	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>424</b>	<b>2</b>	<b>426</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

* Statutory Dedications:							
Camp Minden Fire Protection Fund (P38)	\$50,000	\$0	\$50,000	\$0	\$0	\$0	\$0
State Emergency Response Fund (V29)	\$108,296	\$0	\$108,296	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0



STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 1 NAME: MILITARY AFFAIRS

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$0	\$0	\$54,670	\$54,670
<b>EXPENDITURES:</b>						
Salaries	\$0	\$0	\$0	\$0	\$25,682	\$25,682
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$15,320	\$15,320
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$13,668	\$13,668
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$54,670</b>	<b>\$54,670</b>
<b>OVER / (UNDER)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

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STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 2 NAME: EDUCATION

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUTYEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
GENERAL FUND BY:							
Direct	\$6,996,539	\$0	\$6,996,539	\$0	\$0	\$0	\$0
Interagency Transfers	\$1,922,522	\$0	\$1,922,522	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$150,838	\$0	\$150,838	\$0	\$0	\$0	\$0
Statutory Dedications *	\$0	\$0	\$0	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$22,968,812	\$0	\$22,968,812	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$32,038,711</b>	<b>\$0</b>	<b>\$32,038,711</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
EXPENDITURES:							
Salaries	\$13,695,750	\$0	\$13,695,750	\$0	\$0	\$0	\$0
Other Compensation	\$409,440	\$0	\$409,440	\$0	\$0	\$0	\$0
Related Benefits	\$5,976,795	\$0	\$5,976,795	\$0	\$0	\$0	\$0
Travel	\$208,197	\$0	\$208,197	\$0	\$0	\$0	\$0
Operating Services	\$2,792,951	\$0	\$2,792,951	\$0	\$0	\$0	\$0
Supplies	\$3,592,392	\$0	\$3,592,392	\$0	\$0	\$0	\$0
Professional Services	\$313,574	\$0	\$313,574	\$0	\$0	\$0	\$0
Other Charges	\$2,292,516	\$0	\$2,292,516	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$431,588	\$0	\$431,588	\$0	\$0	\$0	\$0
Acquisitions	\$798,807	\$0	\$798,807	\$0	\$0	\$0	\$0
Major Repairs	\$1,526,701	\$0	\$1,526,701	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$32,038,711</b>	<b>\$0</b>	<b>\$32,038,711</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
POSITIONS							
Classified	0	0	0	0	0	0	0
Unclassified	360	0	360	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>360</b>	<b>0</b>	<b>360</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	3	0	3	0	0	0	0
NON-TO FTE POSITIONS	28	0	28	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>391</b>	<b>0</b>	<b>391</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
* Statutory Dedications:							
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0



STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 2 NAME: EDUCATION

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$0	\$0	\$0	\$0
<b>EXPENDITURES:</b>						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>OVER / (UNDER)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 3 NAME: AUXILIARY

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUTYEAR PROJECTIONS			
GENERAL FUND BY:				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
Direct	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$452,666	\$0	\$452,666	\$0	\$0	\$0	\$0
Statutory Dedications *	\$0	\$0	\$0	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$452,666</b>	<b>\$0</b>	<b>\$452,666</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

EXPENDITURES:							
Salaries	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$75,137	\$0	\$75,137	\$0	\$0	\$0	\$0
Related Benefits	\$7,754	\$0	\$7,754	\$0	\$0	\$0	\$0
Travel	\$2,659	\$0	\$2,659	\$0	\$0	\$0	\$0
Operating Services	\$19,517	\$0	\$19,517	\$0	\$0	\$0	\$0
Supplies	\$347,599	\$0	\$347,599	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$452,666</b>	<b>\$0</b>	<b>\$452,666</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

POSITIONS							
Classified	0	0	0	0	0	0	0
Unclassified	0	0	0	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	0	0	0	0	0	0	0
NON-TO FTE POSITIONS	5	0	5	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>5</b>	<b>0</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

* Statutory Dedications:							
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0



STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 3 NAME: AUXILIARY

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$0	\$0	\$0	\$0
<b>EXPENDITURES:</b>						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>OVER / (UNDER)</b>						
	\$0	\$0	\$0	\$0	\$0	\$0

## **BA-7 QUESTIONNAIRE**

(Provide answers on the Questionnaire Analysis Form; answer all questions applicable to the requested budget adjustment.)

### **GENERAL PURPOSE**

- 1) The purpose of this BA7 is to request approval of additional federal authority for 2 new positions. These positions will perform NCIC checks on all non-vetted personnel entering Military Department installations or working on Military Department facilities IAW the scope of the Security Cooperative Agreement. The positions are 100% federally funded.

### **REVENUES - \$54,670**

(Explain the Means of Financing. Provide details including Source, authority to spend, etc.)

- 1) If STATE GENERAL FUND - \$0
- 2) If IAT - \$0
- 3) If Self-Generated Revenues - \$0
- 4) If Statutory Dedications - \$0
- 5) If Interim Emergency Board Appropriations
- 6) If Federal Funds - \$54,670

### **EXPENDITURES - \$54,670**

- 1) Salaries - \$25,682
- 2) Related Benefits - \$15,320
- 3) Acquisitions - \$13,668

### **OTHER**

- 1) POC is SGM(R) James R. Philyaw, 225-319-4711 or COL(R) Herbert Fritts, 225-319-4757.



**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

<b>DEPARTMENT: Military Department</b>			<b>FOR OPB USE ONLY</b>			
<b>AGENCY: Military Department</b>			OPB LOG NUMBER <div style="font-size: 1.5em; text-align: center;">195</div>		AGENDA NUMBER <div style="font-size: 1.5em; text-align: center;">7</div>	
<b>SCHEDULE NUMBER: 8112</b>			Approval and Authority:			
<b>AGENCY BA-7 NUMBER: 18-14</b>						
<b>HEAD OF BUDGET UNIT: Glenn H. Curtis</b>						
<b>TITLE: The Adjutant General</b>						
<b>SIGNATURE</b> <small>(Certifies that the information provided is correct and true to the best of your knowledge):</small> 						
<b>MEANS OF FINANCING</b>	<b>CURRENT FY 2017-2018</b>	<b>ADJUSTMENT (+) or (-)</b>	<b>REVISED FY 2017-2018</b>			
<b>GENERAL FUND BY:</b>						
DIRECT	\$36,785,944	\$0	\$36,785,944			
INTERAGENCY TRANSFERS	\$5,604,310	\$0	\$5,604,310			
FEES & SELF-GENERATED	\$5,657,526	\$124,948	\$5,782,474			
STATUTORY DEDICATIONS	\$158,296	\$0	\$158,296			
Camp Minden Fire Protection Fund (P38)	\$50,000	\$0	\$50,000			
State Emergency Response Fund (V29)	\$108,296	\$0	\$108,296			
Subtotal of Dedications from Page 2	\$0	\$0	\$0			
FEDERAL	\$55,900,209	\$0	\$55,900,209			
<b>TOTAL</b>	<b>\$104,106,285</b>	<b>\$124,948</b>	<b>\$104,231,233</b>			
AUTHORIZED POSITIONS	757	0	757			
AUTHORIZED OTHER CHARGES	3	0	3			
NON-TO FTE POSITIONS	60	0	60			
<b>TOTAL POSITIONS</b>	<b>820</b>	<b>0</b>	<b>820</b>			
<b>PROGRAM EXPENDITURES</b>						
<b>PROGRAM NAME:</b>	<b>DOLLARS</b>	<b>POS</b>	<b>DOLLARS</b>	<b>POS</b>	<b>DOLLARS</b>	<b>POS</b>
Military Affairs	\$71,614,908	424	\$124,948	0	\$71,739,856	424
Education	\$32,038,711	391	\$0	0	\$32,038,711	391
Auxiliary Account	\$452,666	5	\$0	0	\$452,666	5
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
Subtotal of programs from Page 2:	\$0	0	\$0	0	\$0	0
<b>TOTAL</b>	<b>\$104,106,285</b>	<b>820</b>	<b>\$124,948</b>	<b>0</b>	<b>\$104,231,233</b>	<b>820</b>

**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

<b>DEPARTMENT:</b> Military Department	<b>FOR OPB USE ONLY</b>	
<b>AGENCY:</b> Military Department	OPB LOG NUMBER	AGENDA NUMBER
<b>SCHEDULE NUMBER:</b> 8112		
<b>1/0/1900</b>	<b>ADDENDUM TO PAGE 1</b>	
<b>AGENCY BA-7 NUMBER:</b> 18-14		

Use this section for additional Statutory Dedications, if needed.  
The subtotal will automatically be transferred to Page 1.

MEANS OF FINANCING	CURRENT FY 2017-2018	ADJUSTMENT (+) or (-)	REVISED FY 2017-2018
<b>GENERAL FUND BY:</b>			
<b>STATUTORY DEDICATIONS</b>			
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
<b>SUBTOTAL (to Page 1)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

Use this section for additional Program Names, if needed.  
The subtotal will automatically be transferred to Page 1.

PROGRAM EXPENDITURES	DOLLARS	POS	DOLLARS	POS	DOLLARS	POS
<b>PROGRAM NAME:</b>						
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
<b>SUBTOTAL (to Page 1)</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>0</b>

**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

Policy and Procedure Memorandum No. 52, Revised, requires that all Requests for Changes in Appropriation be fully documented. At a minimum, the following questions and statements must be answered. Use Continuation Sheets as needed. **FAILURE TO ANSWER ALL QUESTIONS COMPLETELY WILL BE CAUSE TO RETURN THIS DOCUMENT WITHOUT ACTION.**

1. What is the source of funding (if other than General Fund (Direct))? Specifically identify any grant or public law and the purposes of the funds, if applicable. A copy of any grant application and the notice of approved grant or appropriation must accompany the BA-7. What are the expenditure restrictions of the funds?  
**In response to the proclamation 95 JBE 2017 (State of Emergency for the City of New Orleans) - Self-Generated authority is requested in order to receive/execute funds from the City of New Orleans for 100% of costs related to the Military Department's response and recovery support. Costs are as follows:**

100%

<b>STAD Pay</b>	<b>\$</b>	<b>47,371.00</b>
<b>Personnel LMD EE</b>	<b>\$</b>	<b>65,336.00</b>
<b>Travel</b>	<b>\$</b>	<b>8,540.00</b>
<b>Operating Services</b>	<b>\$</b>	<b>3,701.00</b>
<b>Actual Exp/Enc Totals</b>	<b>\$</b>	<b>124,948.00</b>

2. Enter the financial impact of the requested adjustment for the next four fiscal years.

MEANS OF FINANCING OR EXPENDITURE	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>					
DIRECT	\$0	\$0	\$0	\$0	\$0
INTERAGENCY TRANSFERS	\$0	\$0	\$0	\$0	\$0
FEES & SELF-GENERATED	\$124,948	\$0	\$0	\$0	\$0
STATUTORY DEDICATIONS	\$0	\$0	\$0	\$0	\$0
FEDERAL	\$0	\$0	\$0	\$0	\$0
<b>TOTAL</b>	<b>\$124,948</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

3. If this action requires additional personnel, provide a detailed explanation below:

4. Explain why this request can't be postponed for consideration in the agency's budget request for next fiscal year.

**The Self-Generated authority is required in FY18 to receive/execute funding from the City of New Orleans for current year expenditures/obligations as a result of the Military Department's support mission related to the New Orleans Sewerage and Water Board.**

5. Is this an after the fact BA-7, e.g.; have expenditures been made toward the program this BA-7 is for? If yes, explain per PPM No.52.

**Yes, expenditures have been incurred by the Military Department's support mission related to the New Orleans Sewerage and Water Board.**



**STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PERFORMANCE IMPACT OF MID-YEAR BUDGET ADJUSTMENT**

1. Identify and explain the programmatic impacts (positive or negative) that will result from the approval of this BA-7.

**Approval of this BA7 will have a positive programatic impact. It will allow the Military Department to receive Self-Generated funds from the City of New Orleans in response to Sewerage and Water Board mission and Proclamation 95 JBE 2017.**

2. Complete the following information for each objective and related performance indicators that will be affected by this request. *(Note: Requested adjustments may involve revisions to existing objectives and performance indicators or creation of new objectives and performance indicators. Repeat this portion of the request form as often as necessary.)*

OBJECTIVE: N/A

LEVEL	PERFORMANCE INDICATOR NAME	PERFORMANCE STANDARD		
		CURRENT FY 2017-2018	ADJUSTMENT (+) OR (-)	REVISED FY 2017-2018

JUSTIFICATION FOR ADJUSTMENT(S): Explain the necessity of the adjustment(s).

3. Briefly explain any performance impacts other than or in addition to effects on objectives and performance indicators. *(For example: Are there any anticipated direct or indirect effects on program management or service recipients? Will this BA-7 have a positive or negative impact on some other program or agency?)*

N/A

4. If there are no performance impacts associated with this BA-7 request, then fully explain this lack of performance impact.

N/A

5. Describe the performance impacts of failure to approve this BA-7. (Be specific. Relate performance impacts to objectives and performance indicators.)

**Failure to approve this BA-7 would prevent the Military Department from utilizing funds from the City of New Orleans in support of the Sewerage and Water Board Mission and Proclamation 95 JBE 2017.**



**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 1 NAME: MILITARY AFFAIRS

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUTYEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
GENERAL FUND BY:							
Direct	\$29,789,405	\$0	\$29,789,405	\$0	\$0	\$0	\$0
Interagency Transfers	\$3,681,788	\$0	\$3,681,788	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$5,054,022	\$124,948	\$5,178,970	\$0	\$0	\$0	\$0
Statutory Dedications *	\$158,296	\$0	\$158,296	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$32,931,397	\$0	\$32,931,397	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$71,614,908</b>	<b>\$124,948</b>	<b>\$71,739,856</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
EXPENDITURES:							
Salaries	\$16,807,108	\$0	\$16,807,108	\$0	\$0	\$0	\$0
Other Compensation	\$582,609	\$0	\$582,609	\$0	\$0	\$0	\$0
Related Benefits	\$8,115,549	\$0	\$8,115,549	\$0	\$0	\$0	\$0
Travel	\$169,470	\$0	\$169,470	\$0	\$0	\$0	\$0
Operating Services	\$15,686,553	\$0	\$15,686,553	\$0	\$0	\$0	\$0
Supplies	\$3,083,846	\$0	\$3,083,846	\$0	\$0	\$0	\$0
Professional Services	\$2,540,459	\$0	\$2,540,459	\$0	\$0	\$0	\$0
Other Charges	\$11,857,067	\$124,948	\$11,982,015	\$0	\$0	\$0	\$0
Debt Services	\$2,378,080	\$0	\$2,378,080	\$0	\$0	\$0	\$0
Interagency Transfers	\$4,872,654	\$0	\$4,872,654	\$0	\$0	\$0	\$0
Acquisitions	\$1,661,238	\$0	\$1,661,238	\$0	\$0	\$0	\$0
Major Repairs	\$3,860,275	\$0	\$3,860,275	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$71,614,908</b>	<b>\$124,948</b>	<b>\$71,739,856</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
POSITIONS							
Classified	2	0	2	0	0	0	0
Unclassified	395	0	395	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>397</b>	<b>0</b>	<b>397</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	0	0	0	0	0	0	0
NON-TO FTE POSITIONS	27	0	27	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>424</b>	<b>0</b>	<b>424</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
* Statutory Dedications:							
Camp Minden Fire Protection Fund (P38)	\$50,000	\$0	\$50,000	\$0	\$0	\$0	\$0
State Emergency Response Fund (V29)	\$108,296	\$0	\$108,296	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
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STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 1 NAME: MILITARY AFFAIRS

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$124,948	\$0	\$0	\$124,948
<b>EXPENDITURES:</b>						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$124,948	\$0	\$0	\$124,948
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$124,948</b>	<b>\$0</b>	<b>\$0</b>	<b>\$124,948</b>
<b>OVER / (UNDER)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 2 NAME: EDUCATION

MEANS OF FINANCING:	CURRENT	REQUESTED	REVISED	ADJUSTMENT OUTYEAR PROJECTIONS			
	FY 2017-2018	ADJUSTMENT	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
GENERAL FUND BY:							
Direct	\$6,996,539	\$0	\$6,996,539	\$0	\$0	\$0	\$0
Interagency Transfers	\$1,922,522	\$0	\$1,922,522	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$150,838	\$0	\$150,838	\$0	\$0	\$0	\$0
Statutory Dedications *	\$0	\$0	\$0	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$22,968,812	\$0	\$22,968,812	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$32,038,711</b>	<b>\$0</b>	<b>\$32,038,711</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

EXPENDITURES:							
Salaries	\$13,695,750	\$0	\$13,695,750	\$0	\$0	\$0	\$0
Other Compensation	\$409,440	\$0	\$409,440	\$0	\$0	\$0	\$0
Related Benefits	\$5,976,795	\$0	\$5,976,795	\$0	\$0	\$0	\$0
Travel	\$208,197	\$0	\$208,197	\$0	\$0	\$0	\$0
Operating Services	\$2,792,951	\$0	\$2,792,951	\$0	\$0	\$0	\$0
Supplies	\$3,592,392	\$0	\$3,592,392	\$0	\$0	\$0	\$0
Professional Services	\$313,574	\$0	\$313,574	\$0	\$0	\$0	\$0
Other Charges	\$2,292,516	\$0	\$2,292,516	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$431,588	\$0	\$431,588	\$0	\$0	\$0	\$0
Acquisitions	\$798,807	\$0	\$798,807	\$0	\$0	\$0	\$0
Major Repairs	\$1,526,701	\$0	\$1,526,701	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$32,038,711</b>	<b>\$0</b>	<b>\$32,038,711</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

POSITIONS							
Classified	0	0	0	0	0	0	0
Unclassified	360	0	360	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>360</b>	<b>0</b>	<b>360</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	3	0	3	0	0	0	0
NON-TO FTE POSITIONS	28	0	28	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>391</b>	<b>0</b>	<b>391</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

* Statutory Dedications:							
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0



**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 2 NAME: EDUCATION

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$0	\$0	\$0	\$0
<b>EXPENDITURES:</b>						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>OVER / (UNDER)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>



STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 3 NAME: AUXILIARY

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUTYEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>							
Direct	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$452,666	\$0	\$452,666	\$0	\$0	\$0	\$0
Statutory Dedications *	\$0	\$0	\$0	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$452,666</b>	<b>\$0</b>	<b>\$452,666</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>EXPENDITURES:</b>							
Salaries	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$75,137	\$0	\$75,137	\$0	\$0	\$0	\$0
Related Benefits	\$7,754	\$0	\$7,754	\$0	\$0	\$0	\$0
Travel	\$2,659	\$0	\$2,659	\$0	\$0	\$0	\$0
Operating Services	\$19,517	\$0	\$19,517	\$0	\$0	\$0	\$0
Supplies	\$347,599	\$0	\$347,599	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$452,666</b>	<b>\$0</b>	<b>\$452,666</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>POSITIONS</b>							
Classified	0	0	0	0	0	0	0
Unclassified	0	0	0	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>OTHER CHARGES POSITIONS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>NON-TO FTE POSITIONS</b>	<b>5</b>	<b>0</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>TOTAL POSITIONS</b>	<b>5</b>	<b>0</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>* Statutory Dedications:</b>							
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0



**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 3 NAME: AUXILIARY

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$0	\$0	\$0	\$0
<b>EXPENDITURES:</b>						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>OVER / (UNDER)</b>						
	\$0	\$0	\$0	\$0	\$0	\$0

## **BA-7 QUESTIONNAIRE**

(Provide answers on the Questionnaire Analysis Form; answer all questions applicable to the requested budget adjustment.)

### **GENERAL PURPOSE**

- 1) The purpose of this BA7 is to request Self-Generated authority in the amount of \$124,948 to receive/execute reimburse the City of New Orleans for the costs incurred to the Military Department's for Sewerage and Water Board Assistance

### **REVENUES - \$124,948**

(Explain the Means of Financing. Provide details including Source, authority to spend, etc.)

- 2) If STATE GENERAL FUND - \$0
- 3) If IAT - \$0
- 4) If Self-Generated Revenues – \$124,948
- 5) If Statutory Dedications - \$0
- 6) If Interim Emergency Board Appropriations
- 7) If Federal Funds - \$0
- 8) All Grants:

### **EXPENDITURES - \$124,948**

- 1) Other Charges-\$124,948

### **OTHER**

- 1) POC is SGM(R) James R. Philyaw, 225-319-4711 or COL(R) Herbert Fritts, 225-319-4757.



**MILITARY DEPARTMENT  
STATE OF LOUISIANA**

Post Office Box 440  
Chalmette, LA 70044  
(504)278-8784 Fax (504)278-8073

**INVOICE**

INVOICE # FY18SWB01  
DATE: JANUARY 31, 2018

**TO: THE SEWERAGE AND WATER BOARD  
OF NEW ORLEANS**

Attn: Finance Department  
625 Saint Joseph Street Room 331  
NEW ORLEANS, LA 70165

(504) 585-2356

**DESCRIPTION**

**AMOUNT**

Expenses incurred by the Military Department, State of Louisiana for the period August 21, 2017 – November 30, 2017 for engineering, procurement, and contracting services in support of the Sewerage and Water Board State of Emergency related to the August 5, 2017 extreme flooding

State Active Duty – Payroll	47,370.41
Salaries	65,336.13
Travel-Lodging	8,539.47
Services- Catered Meals	2,366.25
Services- Rented Equipment (Port-O-Lets)	1,335.00
Total	\$124,947.26

Make all checks payable to Military Department, State of Louisiana  
Or State Agencies use ISIS Vendor ID 72-6000774-01(EFT)  
If you have any questions concerning this invoice please contact LANG-LMD-F

**FOR MILITARY DEPARTMENT USE ONLY:**

AGENCY #	ORG	OBJECT	SUB OBJ	RPT CAT	AMOUNT
112					\$124,947.26
112					

PREPARED BY: 

APPROVED BY: 

DONALD JOHNSON, LTC, FISCAL MANAGER

DATE: 31 Jan 2018

DATE: 31 Jan 18

PHONE: (504)278-8320

A

**COOPERATIVE ENDEAVOR AGREEMENT**  
**BETWEEN**  
**THE SEWERAGE AND WATER BOARD OF NEW ORLEANS**  
**AND**  
**THE MILITARY DEPARTMENT, STATE OF LOUISIANA**

**THIS COOPERATIVE ENDEAVOR AGREEMENT** is entered into by and between the Sewerage and Water Board of New Orleans, represented by Mitchell J. Landrieu, Mayor of the City of New Orleans and President of the Board ("Board"), and The Military Department, State of Louisiana, represented herein by its Contracting Officer, Colonel (Retired) Michael P. Deville, ("LMD"). The Agreement is effective as of the date of execution by the Board (the "Effective Date").

**RECITALS**

**WHEREAS**, the Board is a political subdivision of the State of Louisiana;

**WHEREAS**, the Military Department is an agency of the State of Louisiana within the Office of the Governor, as provided for in Louisiana Revised Statutes 36:4(B)(1)(n); and

**WHEREAS**, pursuant to Article 7, Section 14(C) of the Louisiana Constitution of 1974, and related statutes, and Section 9-314 of the Home Rule Charter of the City of New Orleans, the Board may enter into cooperative endeavors with the State of Louisiana, its political subdivisions and corporations, the United States and its agencies, and any public or private corporation, association, or individual with regard to cooperative financing and other economic development activities, the procurement and development of immovable property, joint planning and implementation of public works, the joint use of facilities, joint research and program implementation activities, joint funding initiatives, and other similar activities in support of public education, community development, housing rehabilitation, economic growth, and other public purposes;

**WHEREAS**, on August 5, 2017, the City of New Orleans experienced extraordinary, unpredicted amounts of torrential rainfall of over nine inches within a three-hour period, resulting in sudden and extreme flooding throughout the City; and

**WHEREAS**, the present time through December 1, 2017, is the peak period of hurricanes and tropical storms, posing the risk of torrential rainfall;

**WHEREAS**, given the threat posed to the public health, welfare and safety, it is imperative that the Board inspect and repair its drainage system equipment in order to reduce this risk; and

**WHEREAS**, in recognition of the extreme emergency circumstances facing the Board and the City, on August 10, 2017, the Mayor of the City of New Orleans, who is the President of the Board, declared a State of Emergency as a result of the recent flooding, said declaration being in effect presently; and

**WHEREAS**, in recognition of the threat posed to the City of New Orleans, on August 10<sup>th</sup>, 2017, the Governor of the State of Louisiana declared a State of Emergency to exist in the Parish of Orleans, and directed all State departments to cooperate in the actions the State may take in

response to the emergency situation, and

**WHEREAS**, on August 10, 2017 the Mayor and the Executive Director of the Board, acknowledging the existence of this extreme emergency, and considering that at the present time the city is at the heart of hurricane season, requested and received from the Board the authority to use Emergency Procurement measures to make necessary repairs to specific drainage system and equipment and to hire third parties to perform operational management thereby suspending the usual formal requirements for Procurement of Services in accordance with otherwise applicable Board policies and/or law,

**WHEREAS**, Board has need for the engineering, procurement and contracting expertise of certain key LMD personnel to assist with the Sewerage & Water Board matter, and LMD is willing and able to provide employees with such expertise;

**WHEREAS**, the parties wish to reduce the terms of their agreement to writing;  
and

**NOW THEREFORE**, for and in consideration of the mutual promises to each other, as set forth herein, the parties do mutually agree as follows:

1. For the period August 21, 2017 through November 30, 2017 ("Hurricane Season"), LMD will provide to the Board the services of one LMD state employee (Mr. Owen W. Monconduit) and one Louisiana National Guardsmen on State Active Duty under Louisiana Revised Statutes 29:7 (Captain Johnathon Bogle), Mr. Monconduit has expertise in engineering, procurement and contracting. Captain Bogle will provide logistical and administrative support to Mr. Monconduit and the Board. The provided personnel will perform duties as assigned and agreed in advance by LMD and the Board. The Board is responsible for the scope and nature of duties of the provided personnel during term of the agreement and for the overall direction and supervision of his services provided under this Agreement. As such, the Board agrees to provide, at its own cost and expense, reasonable working space and materials which may be necessary in connection performance of services by the personnel provided by LMD under this Agreement.

2. In consideration for the services of the LMD state employee provided, (Mr. Owen W. Monconduit), the Board will pay to LMD an hourly rate not to exceed eighty-two dollars and 72 cents (\$82.72), which includes salary and related benefits. In consideration for the services of the Louisiana National Guardsman on State Active Duty Seven (7) days a week (Captain Bogle), the Board will pay to LMD a daily rate not to exceed three hundred (\$300) dollars a day, which includes salary, per diem, and lodging, and includes weekend days, holidays, and days off.

3. Upon request of the Board or the City of New Orleans, in addition to the support described in Paragraph 2 above, LMD will provide additional National Guardsmen on State Active Duty seven (7) days a week to provide assistance at the pump stations. In consideration for the services of these National Guardsmen, the Board will pay to LMD an estimated daily rate of \$222.00, which includes salary, per diem, and lodging, and includes weekend days, holidays, and days off. Depending on the rank of the National Guardsmen provided, the actual rate may be lesser than or greater than the estimated rate.

The Board will only pay the actual costs for the National Guardsmen incurred by LMD.

4. The cost borne by LMD for any operating service support, including but not limited to equipment, mobile toilets, and other subsistence services or items, requested by the Board or necessary to support the personnel provided to the Board will be reimbursed to LMD by the Board. The actual cost of any operating service support will be invoiced and paid in the manner provided in Paragraph 5 below.

5. The payments by the Board to LMD for the provided personnel and operating service support shall be considered the fee for services rendered under this Agreement. The provided personnel will complete a timesheet of hours worked for Hurricane Season to be approved by the Board. LMD will submit a monthly invoice for approved hours or days for all personnel provided by LMD to the Board starting no later than the tenth day of each month for work accomplished during the preceding month. The Board shall have thirty days after receipt of invoice to make payment to LMD. Payment shall be made to the Louisiana Military Department, P.O. Box 440, Chalmette, Louisiana 70044.

6. The Board will reimburse the LMD in accordance with the State of Louisiana PPM49 Travel Policy and Guidelines for business related expenses such as transportation, parking, housing and applicable meals. The provided personnel will complete the Travel Expense Account (BA-12) document to be approved by the LMD. LMD will submit an invoice for approved travel expenses on a monthly basis to Board in the same manner as provided in the paragraph above.

#### **ARTICLE I - THE BOARD'S OBLIGATIONS**

##### **A. Administration.** The Board will:

1. Administer this Agreement through the Board.
2. Provide LMD with documents deemed necessary for performance of any work by the personnel provided by LMD, as required under this Agreement;
3. Provide access to Board personnel, records, and all consultants or contractors to discuss the required services during normal working hours, as requested by the LMD or the provided personnel;
4. The Board will continue to have sole responsibility for the operation and maintenance of Board facilities, including compliance with all applicable permits, authorizations, consent decrees, regulations and other applicable laws; maintenance of capital improvements; direct management of Civil Service employees, and employment of all operations and maintenance staff employed through the Civil Service system.

The Board hereby agrees to fully protect, defend, indemnify, save and hold harmless LMD, the State of Louisiana and any and all State Departments, Agencies, Commissions and Boards, and their respective officers, directors, agents, representatives, servants, employees and volunteers, from and against any and all claims, demands, causes of action, suits, costs, expenses, attorney fees and other litigation related costs, fees, expenses, damages and liability for injury and/or death to any person and for any damage, loss and/or destruction of any property occurring, arising or in any way growing out of and/or in connection with any act or omission of the Board and/or its



owners, officers, directors, agents, representatives, servants, employees or volunteers, as well as any fines levied by any authority for the Board's noncompliance with any local, state or federal law, and from and against any and all costs, expenses, attorney fees and other litigation related costs, fees and expenses, and any other direct, indirect, consequential and incidental costs, fees, expenses and damages associated and/or incurred as a result of any such claim, demand, cause of action, suit or fine, and, further, the Board shall pay any final judgment and/or award resulting therefrom, except for those claims, demands, causes of action or suits arising out of the gross, willful or wanton negligence or an intentional act of LMD, the State of Louisiana, a State Department, Agency, Commission or Board or any of their respective officers, directors, agents, representatives, servants, employees or volunteers.

## **ARTICLE II - DURATION AND TERMINATION**

A. **Term.** The term of this agreement shall be from August 21, 2017 through November 30, 2017.

B. **Extension.** The Parties can opt to extend the term of this Agreement upon notice and agreement from both Parties.

C. **Termination:** This Agreement may be terminated at any time by either party upon 5 days written notice to the other. Any such termination will be without prejudice to any obligations or liabilities of either party already accrued prior to such termination.

D. **Entire Agreement.** This Agreement, including all incorporated documents, constitutes the final and complete agreement and understanding between the parties. All prior and contemporaneous agreements and understandings, whether oral or written, are superseded by this Agreement and are without effect to vary or alter any terms or conditions of this Agreement.

## **ARTICLE III - EMPLOYMENT STATUS OF LMD PERSONNEL**

A. **Status of LMD Employees.** Any personnel provided by LMD to the Board under this Agreement will remain at all times an employee of the LMD and the LMD shall remain responsible for all decisions relating to the employment of such employees, including without limitation decisions relating to compensation, discipline, promotion, or termination. The LMD will be solely responsible for continuing the salary and fringe benefits of the provided personnel, and will be solely responsible for all matters related to the reporting and payment of federal, state, and local payroll taxes and other applicable employee withholdings or deductions from the salary required by law or agreement, social security, workers' compensation insurance, unemployment insurance, salary, and fringe benefits relating to the provided personnel during the term of this Agreement. It is further understood that neither the LMD nor the Board is, nor shall be considered to be, an agent, partner, joint venture, or employee of the other.

B. **Exclusion of Worker's Compensation Coverage.** The Board will not be liable to the provided personnel as an independent contractor as defined in La. R.S. 23:1021(7), for any benefits or coverage as provided by the Workmen's Compensation Law of the State of Louisiana.

C. **Waiver of Benefits.** The provided personnel, as employees of LMD, will not receive from the Board any sick and annual leave benefits, medical insurance, life insurance, paid

vacations, paid holidays, sick leave, pension, or Social Security for any services rendered to the Board under this Agreement.

#### **ARTICLE IV – COUNTERPARTS**

This Agreement may be executed in one or more counterparts, each of which shall be deemed to be an original copy of this Agreement, but all of which, when taken together, shall constitute one and the same agreement.

#### **ARTICLE V - ELECTRONIC SIGNATURE AND DELIVERY**

The Parties agree that a manually signed copy of this Agreement and any other document(s) attached to this Agreement delivered by email shall be deemed to have the same legal effect as delivery of an original signed copy of this Agreement. No legally binding obligation shall be created with respect to a party until such party has delivered or caused to be delivered a manually signed copy of this Agreement.

IN WITNESS WHEREOF, the Board and the Military Department, through their duly authorized representatives, execute this Agreement.

**CITY OF NEW ORLEANS**

BY: 

**MITCHELL J. LANDRIEU, MAYOR AND PRESIDENT OF THE BOARD**

*Effective*

~~Executed~~ on this 21<sup>st</sup> of August, 2017

**FORM AND LEGALITY APPROVED:**

**Law Department**

By: 

Printed Name: Rebecca Dietz

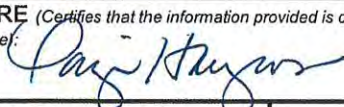
**MILITARY DEPARTMENT, STATE OF LOUISIANA**

BY: 

**Colonel (Retired) Michael P. Deville, State Contracting Officer**



STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

DEPARTMENT: Health & Hospitals			FOR OPB USE ONLY			
AGENCY: Louisiana Emergency Response Network			OPB LOG NUMBER <b>192R</b>		AGENDA NUMBER <b>8</b>	
SCHEDULE NUMBER: 09-324			Approval and Authority:			
SUBMISSION DATE: January 23, 2018						
AGENCY BA-7 NUMBER: 2						
HEAD OF BUDGET UNIT: Paige Hargrove						
TITLE: Executive Director						
SIGNATURE (Certifies that the information provided is correct and true to the best of your knowledge): 						
MEANS OF FINANCING	CURRENT FY 2017-2018	ADJUSTMENT (+) or (-)	REVISED FY 2017-2018			
GENERAL FUND BY:						
DIRECT	\$1,583,085	\$0	\$1,583,085			
INTERAGENCY TRANSFERS	\$74,900	\$0	\$74,900			
FEES & SELF-GENERATED	\$0	\$9,000	\$9,000			
STATUTORY DEDICATIONS	\$0	\$1,282	\$1,282			
LA Emergency Response Network Fund (H34)	\$0	\$1,282	\$1,282			
[Select Statutory Dedication]	\$0	\$0	\$0			
Subtotal of Dedications from Page 2	\$0	\$0	\$0			
FEDERAL	\$0	\$0	\$0			
<b>TOTAL</b>	<b>\$1,657,985</b>	<b>\$10,282</b>	<b>\$1,668,267</b>			
AUTHORIZED POSITIONS	7	0	7			
AUTHORIZED OTHER CHARGES	0	0	0			
NON-TO FTE POSITIONS	0	0	0			
<b>TOTAL POSITIONS</b>	<b>7</b>	<b>0</b>	<b>7</b>			
PROGRAM EXPENDITURES						
PROGRAM NAME:	DOLLARS	POS	DOLLARS	POS	DOLLARS	POS
LERN	\$1,657,985	7	\$10,282	0	\$1,668,267	7
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
Subtotal of programs from Page 2:	\$0	0	\$0	0	\$0	0
<b>TOTAL</b>	<b>\$1,657,985</b>	<b>7</b>	<b>\$10,282</b>	<b>0</b>	<b>\$1,668,267</b>	<b>7</b>

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**STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

Policy and Procedure Memorandum No. 52, Revised, requires that all Requests for Changes in Appropriation be fully documented. At a minimum, the following questions and statements must be answered. Use Continuation Sheets as needed. **FAILURE TO ANSWER ALL QUESTIONS COMPLETELY WILL BE CAUSE TO RETURN THIS DOCUMENT WITHOUT ACTION.**

1. What is the source of funding (if other than General Fund (Direct))? Specifically identify any grant or public law and the purposes of the funds, if applicable. A copy of any grant application and the notice of approved grant or appropriation must accompany the BA-7. What are the expenditure restrictions of the funds?  
**The purpose of this BA-7 is to increase Fees and Self-Generated Revenues and Statutory Dedication (Louisiana Emergency Response Network Fund) authority in order to receive monies from individuals, corporations, etc. to fund initiatives i.e. Stop the Bleed. The American College of Surgeons (ACS) is calling all state trauma systems to implement "Stop the Bleed". This is a national awareness campaign launched by the White House. It is intended to cultivate grassroots efforts that encourage bystanders to become trained, equipped, and empowered to help in a bleeding emergency before professional help arrives, much like citizens are educated and empowered to perform CPR.**

2. Enter the financial impact of the requested adjustment for the next four fiscal years.

MEANS OF FINANCING OR EXPENDITURE	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>					
DIRECT	\$0	\$0	\$0	\$0	\$0
INTERAGENCY TRANSFERS	\$0	\$0	\$0	\$0	\$0
FEES & SELF-GENERATED	\$9,000	\$5,853	\$0	\$0	\$0
STATUTORY DEDICATIONS	\$1,282	\$0	\$0	\$0	\$0
FEDERAL	\$0	\$0	\$0	\$0	\$0
<b>TOTAL</b>	<b>\$10,282</b>	<b>\$5,853</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

3. If this action requires additional personnel, provide a detailed explanation below:  
**N/A**

4. Explain why this request can't be postponed for consideration in the agency's budget request for next fiscal year.  
**Monies are expected to be received this current fiscal year to support the initiative Stop the Bleed.**

5. Is this an after the fact BA-7, e.g., have expenditures been made toward the program this BA-7 is for? If yes, explain per PPM No.52.  
**N/A**

A



STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

PERFORMANCE IMPACT OF MID-YEAR BUDGET ADJUSTMENT																																																									
<p>1. Identify and explain the programmatic impacts (positive or negative) that will result from the approval of this BA-7.</p> <p><b>Approval of this BA-7 will increase Fees and Self-Generated Revenues and Statutory Dedications (Louisiana Emergency Response Network Fund) in order to receive monies from individuals, corporations, etc. to fund initiatives i.e. Stop the Bleed.</b></p>																																																									
<p>2. Complete the following information for each objective and related performance indicators that will be affected by this request. <i>(Note: Requested adjustments may involve revisions to existing objectives and performance indicators or creation of new objectives and performance indicators. Repeat this portion of the request form as often as necessary.)</i></p> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> <p>OBJECTIVE:</p> </div> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2" style="width: 5%;">LEVEL</th> <th rowspan="2" style="width: 45%;">PERFORMANCE INDICATOR NAME</th> <th colspan="3" style="width: 50%;">PERFORMANCE STANDARD</th> </tr> <tr> <th style="width: 20%;">CURRENT FY 2017-2018</th> <th style="width: 15%;">ADJUSTMENT (+) OR (-)</th> <th style="width: 15%;">REVISED FY 2017-2018</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </tbody> </table> <div style="border: 1px solid black; padding: 5px;"> <p>JUSTIFICATION FOR ADJUSTMENT(S): Explain the necessity of the adjustment(s).</p> </div>					LEVEL	PERFORMANCE INDICATOR NAME	PERFORMANCE STANDARD			CURRENT FY 2017-2018	ADJUSTMENT (+) OR (-)	REVISED FY 2017-2018																																													
LEVEL	PERFORMANCE INDICATOR NAME	PERFORMANCE STANDARD																																																							
		CURRENT FY 2017-2018	ADJUSTMENT (+) OR (-)	REVISED FY 2017-2018																																																					
<p>3. Briefly explain any performance impacts other than or in addition to effects on objectives and performance indicators. <i>(For example: Are there any anticipated direct or indirect effects on program management or service recipients? Will this BA-7 have a positive or negative impact on some other program or agency?)</i></p> <p><b>N/A</b></p>																																																									
<p>4. If there are no performance impacts associated with this BA-7 request, then fully explain this lack of performance impact.</p> <p><b>N/A</b></p>																																																									
<p>5. Describe the performance impacts of failure to approve this BA-7. (Be specific. Relate performance impacts to objectives and performance indicators.)</p> <p><b>LERN will not have enough budget authority to receive monies from individuals, corporations, etc. to fund initiatives i.e. Stop the Bleed.</b></p>																																																									

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STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 1 NAME: Louisiana Emergency Response Network

MEANS OF FINANCING:	CURRENT	REQUESTED	REVISED	ADJUSTMENT OUTYEAR PROJECTIONS			
	FY 2017-2018	ADJUSTMENT	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
GENERAL FUND BY:							
Direct	\$1,583,085	\$0	\$1,583,085	\$0	\$0	\$0	\$0
Interagency Transfers	\$74,900	\$0	\$74,900	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$0	\$9,000	\$9,000	\$0	\$0	\$0	\$0
Statutory Dedications *	\$0	\$1,282	\$1,282	\$5,853	\$0	\$0	\$0
FEDERAL FUNDS	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$1,657,985</b>	<b>\$10,282</b>	<b>\$1,668,267</b>	<b>\$5,853</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

EXPENDITURES:							
Salaries	\$585,078	\$0	\$585,078	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$288,740	\$0	\$288,740	\$0	\$0	\$0	\$0
Travel	\$30,000	\$0	\$30,000	\$0	\$0	\$0	\$0
Operating Services	\$191,311	\$0	\$191,311	\$0	\$0	\$0	\$0
Supplies	\$17,950	\$10,282	\$28,232	\$5,853	\$0	\$0	\$0
Professional Services	\$337,531	\$0	\$337,531	\$0	\$0	\$0	\$0
Other Charges	\$74,900	\$0	\$74,900	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$129,567	\$0	\$129,567	\$0	\$0	\$0	\$0
Acquisitions	\$2,908	\$0	\$2,908	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$1,657,985</b>	<b>\$10,282</b>	<b>\$1,668,267</b>	<b>\$5,853</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

POSITIONS							
Classified	6	0	6	0	0	0	0
Unclassified	1	0	1	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>7</b>	<b>0</b>	<b>7</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	0	0	0	0	0	0	0
NON-TO FTE POSITIONS	0	0	0	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>7</b>	<b>0</b>	<b>7</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

* Statutory Dedications:							
LA Emergency Response Network Fund (H34)	\$0	\$1,282	\$1,282	\$5,853	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0





STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 1 NAME: Louisiana Emergency Response Network

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$9,000	\$1,282	\$0	\$10,282
<b>EXPENDITURES:</b>						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$9,000	\$1,282	\$0	\$10,282
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$9,000</b>	<b>\$1,282</b>	<b>\$0</b>	<b>\$10,282</b>
<b>OVER / (UNDER)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

## BA-7 QUESTIONNAIRE

(Provide answers on the Questionnaire Analysis Form; answer all questions applicable to the requested budget adjustment.)

### GENERAL PURPOSE

The purpose of this BA-7 is to increase Fees and Self-Generated Revenues and Statutory Dedication (Louisiana Emergency Response Network Fund) authority in order to receive monies from individuals, corporations, etc. to fund initiatives i.e. Stop the Bleed. The American College of Surgeons (ACS) is calling all state trauma systems to implement "Stop the Bleed". This is a national awareness campaign launched by the White House. It is intended to cultivate grassroots efforts that encourage bystanders to become trained, equipped, and empowered to help in a bleeding emergency before professional help arrives, much like citizens are educated and empowered to perform CPR. No matter how rapid the arrival of professional emergency responders, bystanders will always be first on the scene. Due to this call by the ACS, all 5 of the designated trauma centers in conjunction with LERN are working to implement this education. Education supplies are needed and due to the recent budget cuts, LERN can no longer provide these supplies within our budget. The Living Well Foundation has awarded LERN a grant in the amount of \$13,853 (FY18: \$8,000, FY19: \$5,853) to help fund Stop the Bleed and it is expected to be received this fiscal year. Also, a total of \$1,282 is already in the Louisiana Emergency Response Network Fund, \$1,000 is in Treasury and both amounts are expected to be used as well for this initiative

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Fees & Self-Generated Revenues	\$9,000
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Statutory Dedications	\$1,282
(Louisiana Emergency Response Network Fund)	

Total:	\$10,282
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### EXPENDITURES

Provide detailed expenditure information including how the amount requested was calculated.

Supplies	\$10,282
----------	----------

Total:	\$10,282
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Provide names, phone numbers, and e-mail addresses of agency contacts

Paige Hargrove  
LERN, Executive Director  
Phone: 225-756-3440  
Email: [paige.hargrove@la.gov](mailto:paige.hargrove@la.gov)

Cassandra Woods  
Chief Financial Officer  
Phone: 225-756-3421  
Email: [cassandra.woods@la.gov](mailto:cassandra.woods@la.gov)



**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

<b>DEPARTMENT: Revenue</b>			<b>FOR OPB USE ONLY</b>			
<b>AGENCY: Office of Revenue</b>			OPB LOG NUMBER <b>191</b>		AGENDA NUMBER <b>9</b>	
<b>SCHEDULE NUMBER: 12 - 440</b>			Approval and Authority:			
<b>SUBMISSION DATE: 1/3/2018</b>						
<b>AGENCY BA-7 NUMBER: LDR - 05 - 18</b>						
<b>HEAD OF BUDGET UNIT: Clarence Lymon</b>						
<b>TITLE: Undersecretary</b>						
<b>SIGNATURE</b> <small>(Certifies that the information provided is correct and true to the best of your knowledge):</small> <b>12/27/17</b>						
<b>MEANS OF FINANCING</b>	<b>CURRENT FY 2017-2018</b>	<b>ADJUSTMENT (+) or (-)</b>	<b>REVISED FY 2017-2018</b>			
<b>GENERAL FUND BY:</b>						
DIRECT	\$33,892,165	\$0	\$33,892,165			
INTERAGENCY TRANSFERS	\$285,000	\$0	\$285,000			
FEES & SELF-GENERATED	\$67,107,815	\$8,747,529	\$75,855,344			
STATUTORY DEDICATIONS	\$543,583	\$0	\$543,583			
Tobacco Regulation Enforcement Fund (RVC)	\$543,583	\$0	\$543,583			
[Select Statutory Dedication]	\$0	\$0	\$0			
Subtotal of Dedications from Page 2	\$0	\$0	\$0			
FEDERAL	\$0	\$0	\$0			
<b>TOTAL</b>	<b>\$101,828,563</b>	<b>\$8,747,529</b>	<b>\$110,576,092</b>			
AUTHORIZED POSITIONS	712	0	712			
AUTHORIZED OTHER CHARGES	15	0	15			
NON-TO FTE POSITIONS	6	0	6			
<b>TOTAL POSITIONS</b>	<b>733</b>	<b>0</b>	<b>733</b>			
<b>PROGRAM EXPENDITURES</b>	<b>DOLLARS</b>	<b>POS</b>	<b>DOLLARS</b>	<b>POS</b>	<b>DOLLARS</b>	<b>POS</b>
<b>PROGRAM NAME:</b>						
Tax Collection	\$93,307,017	667	\$5,599,121	0	\$98,906,138	667
Alcohol & Tobacco Control	\$6,201,312	46	\$2,648,408	0	\$8,849,720	46
Charitable Gaming	\$2,320,234	20	\$500,000	0	\$2,820,234	20
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
Subtotal of programs from Page 2:	\$0	0	\$0	0	\$0	0
<b>TOTAL</b>	<b>\$101,828,563</b>	<b>733</b>	<b>\$8,747,529</b>	<b>0</b>	<b>\$110,576,092</b>	<b>733</b>

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**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

<b>DEPARTMENT:</b> Revenue	<b>FOR OPB USE ONLY</b>	
<b>AGENCY:</b> Office of Revenue	<b>OPB LOG NUMBER</b>	<b>AGENDA NUMBER</b>
<b>SCHEDULE NUMBER:</b> 12 - 440		
<b>SUBMISSION DATE:</b> 1/3/2018	<b>ADDENDUM TO PAGE 1</b>	
<b>AGENCY BA-7 NUMBER:</b> LDR - 05 - 18		

Use this section for additional Statutory Dedications, if needed.

The subtotal will automatically be transferred to Page 1.

MEANS OF FINANCING	CURRENT FY 2017-2018	ADJUSTMENT (+) or (-)	REVISED FY 2017-2018
<b>GENERAL FUND BY:</b>			
<b>STATUTORY DEDICATIONS</b>			
Tobacco Regulation Enforcement Fund (RVC)	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0
<b>SUBTOTAL (to Page 1)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

Use this section for additional Program Names, if needed.

The subtotal will automatically be transferred to Page 1.

PROGRAM EXPENDITURES	DOLLARS	POS	DOLLARS	POS	DOLLARS	POS
<b>PROGRAM NAME:</b>						
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
	\$0	0	\$0	0	\$0	0
<b>SUBTOTAL (to Page 1)</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>0</b>

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**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

Policy and Procedure Memorandum No. 52, Revised, requires that all Requests for Changes in Appropriation be fully documented. At a minimum, the following questions and statements must be answered. Use Continuation Sheets as needed. **FAILURE TO ANSWER ALL QUESTIONS COMPLETELY WILL BE CAUSE TO RETURN THIS DOCUMENT WITHOUT ACTION.**

1. What is the source of funding (if other than General Fund (Direct))? Specifically identify any grant or public law and the purposes of the funds, if applicable. A copy of any grant application and the notice of approved grant or appropriation must accompany the BA-7. What are the expenditure restrictions of the funds?

The source of funding is Fees and Self-generated revenues.

2. Enter the financial impact of the requested adjustment for the next four fiscal years.

MEANS OF FINANCING OR EXPENDITURE	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>					
DIRECT	\$0	\$0	\$0	\$0	\$0
INTERAGENCY TRANSFERS	\$0	\$0	\$0	\$0	\$0
FEES & SELF-GENERATED	\$8,747,529	<del>\$824,804</del> <i>\$116,704</i>	<del>\$824,804</del> <i>\$116,704</i>	<del>\$824,804</del> <i>\$116,704</i>	<del>\$824,804</del> <i>\$116,704</i>
STATUTORY DEDICATIONS	\$0	\$0	\$0	\$0	\$0
FEDERAL	\$0	\$0	\$0	\$0	\$0
<b>TOTAL</b>	<b>\$8,747,529</b>	<b>\$824,804</b>	<b>\$824,804</b>	<b>\$824,804</b>	<b>\$824,804</b>

Recurring costs for licensing and maintenance, and lease of equipment are included for FY19 through FY22. The recurring cost for licensing and maintenance of replacement systems for the Office of Debt Recovery, Alcohol & Tobacco Control, and Charitable Gaming are not determined at this time.

3. If this action requires additional personnel, provide a detailed explanation below:

No additional personnel are needed.

4. Explain why this request can't be postponed for consideration in the agency's budget request for next fiscal year.

It is important that the projects are started this year for the technology systems, software licensing and maintenance, hardware replacement, and the LaSalle building security remodel. It is important that funding is available for these projects to ensure the ongoing success of our technology systems and physical security of our staff.

5. Is this an after the fact BA-7, e.g.; have expenditures been made toward the program this BA-7 is for? If yes, explain per PPM No.52.

No.

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**STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PERFORMANCE IMPACT OF MID-YEAR BUDGET ADJUSTMENT**

1. Identify and explain the programmatic impacts (positive or negative) that will result from the approval of this BA-7.

Approval of these technology requests will ensure continued operation of the Tax Collection, Alcohol and Tobacco Control (ATC), and Charitable Gaming programs. Computer hardware and software licensing, maintenance, and applications must be current for employees to perform their jobs and be productive. If systems fail, most work processes would stop. Increases are needed for GenTax support, electronic storage of records, Microsoft licensing, economic model licensing and maintenance, database upgrades, and lease of equipment. Replacement is needed for the Office of Debt Recovery's system that lacks a proper accounting system and simply stores records in a database. Two storage area networks that are used to store all of LDR applications and data are at end of life. If this network fails, LDR employees would be unable to perform their jobs and none of the tax filings could be processed. Replacement systems for ATC and Charitable Gaming are necessary for reporting, accounting, licensing and enforcement applications.

The Tax Collection Program requests funding for a LaSalle building remodel in certain areas. LDR is concerned about the safety of employees since the department assists the public with sensitive financial matters. LDR accepts cash to satisfy tax obligations and generally has up to \$30,000 picked up daily by armored car. The remodel will increase the size of the waiting area to accommodate walk-in clients and install bulletproof teller windows. Security measures will be added to the areas that receive cash payments. The measure will include the installation of security cameras and walls to create safe corridors.

2. Complete the following information for each objective and related performance indicators that will be affected by this request. *(Note: Requested adjustments may involve revisions to existing objectives and performance indicators or creation of new objectives and performance indicators. Repeat this portion of the request form as often as necessary.)*

OBJECTIVE:				
LEVEL	PERFORMANCE INDICATOR NAME	PERFORMANCE STANDARD		
		CURRENT FY 2017-2018	ADJUSTMENT (+) OR (-)	REVISED FY 2017-2018

JUSTIFICATION FOR ADJUSTMENT(S): Explain the necessity of the adjustment(s).

3. Briefly explain any performance impacts other than or in addition to effects on objectives and performance indicators. *(For example: Are there any anticipated direct or indirect effects on program management or service recipients? Will this BA-7 have a positive or negative impact on some other program or agency?)*

Keeping the information systems fully functional and operational is essential for maintaining accurate, timely tax processing which is responsible for the collection of significant revenues for many state government programs. Delays in collecting revenues and timely and accurate reporting of revenues may be impacted.

The ATC system application is used to process alcohol and tobacco permits. The system houses documentation of daily operations that is used for business, enforcement, legal and administrative services. It captures compliance checks and inspection data which is vital to enforcing underage drinking and tobacco laws. If the current system fails, data would not be captured for reporting of performance measures.

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## PERFORMANCE IMPACT OF MID-YEAR BUDGET ADJUSTMENT

Question 3 continued.

The Charitable Gaming system keeps track of gaming licensing renewals, maintains historical financial reports/data. If the system fails, issuing licenses would be delayed, conducting inspections and audits would be hindered, quarterly reports would not be closely monitored, and some criminal activity may go undetected.

The security remodel will provide a safer environment for employees when assisting the general public on sensitive financial matters including collections, seizures of bank accounts and tax refunds, and denials of licenses.

4. If there are no performance impacts associated with this BA-7 request, then fully explain this lack of performance impact.

The technology requests support enterprise IT systems that are used by all programs of the Department of Revenue. As such, all goals, objectives and performance indicators listed in the Operational Plan are impacted.

5. Describe the performance impacts of failure to approve this BA-7. (Be specific. Relate performance impacts to objectives and performance indicators.)

If the requested funding is not approved, the timely collection of state revenues will be impacted. The continued operations for reporting revenues, issuing permits and licenses, and refunding taxes will be delayed. Enforcing the state's alcohol, tobacco and charitable gaming laws will be hindered. Without fully functional technology systems, employee productivity will decline.

Security in the areas for assisting the general public on sensitive financial matters including collections, seizures of bank accounts and tax refunds, and denials of licenses will remain substandard.

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 1 NAME: Tax Collection

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUTYEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
GENERAL FUND BY:							
Direct	\$33,892,165	\$0	\$33,892,165	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$59,414,852	\$5,599,121	\$65,013,973	\$708,100	\$708,100	\$708,100	\$708,100
Statutory Dedications *	\$0	\$0	\$0	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$93,307,017</b>	<b>\$5,599,121</b>	<b>\$98,906,138</b>	<b>\$708,100</b>	<b>\$708,100</b>	<b>\$708,100</b>	<b>\$708,100</b>

<b>EXPENDITURES:</b>							
Salaries	\$34,565,642	\$0	\$34,565,642	\$0	\$0	\$0	\$0
Other Compensation	\$1,363,691	\$0	\$1,363,691	\$0	\$0	\$0	\$0
Related Benefits	\$23,147,003	\$0	\$23,147,003	\$0	\$0	\$0	\$0
Travel	\$749,999	\$0	\$749,999	\$0	\$0	\$0	\$0
Operating Services	\$5,815,593	\$0	\$5,815,593	\$0	\$0	\$0	\$0
Supplies	\$289,089	\$0	\$289,089	\$0	\$0	\$0	\$0
Professional Services	\$1,441,344	\$0	\$1,441,344	\$0	\$0	\$0	\$0
Other Charges	\$1,505,110	\$0	\$1,505,110	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$24,392,000	\$5,599,121	\$29,991,121	\$708,100	\$708,100	\$708,100	\$708,100
Acquisitions	\$37,546	\$0	\$37,546	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$93,307,017</b>	<b>\$5,599,121</b>	<b>\$98,906,138</b>	<b>\$708,100</b>	<b>\$708,100</b>	<b>\$708,100</b>	<b>\$708,100</b>

<b>POSITIONS</b>							
Classified	636	0	636	0	0	0	0
Unclassified	11	0	11	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>647</b>	<b>0</b>	<b>647</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	15	0	15	0	0	0	0
NON-TO FTE POSITIONS	5	0	5	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>667</b>	<b>0</b>	<b>667</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

<b>* Statutory Dedications:</b>							
(Select Statutory Dedication)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
(Select Statutory Dedication)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
(Select Statutory Dedication)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
(Select Statutory Dedication)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
(Select Statutory Dedication)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
(Select Statutory Dedication)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
(Select Statutory Dedication)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
(Select Statutory Dedication)	\$0	\$0	\$0	\$0	\$0	\$0	\$0

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**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 1 NAME: Tax Collection

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$5,599,121	\$0	\$0	\$5,599,121
<b>EXPENDITURES:</b>						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$5,599,121	\$0	\$0	\$5,599,121
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$5,599,121</b>	<b>\$0</b>	<b>\$0</b>	<b>\$5,599,121</b>
<b>OVER / (UNDER)</b>						
	\$0	\$0	\$0	\$0	\$0	\$0
<b>POSITIONS</b>						
Classified	\$0	\$0	\$0	\$0	\$0	0
Unclassified	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL T.O. POSITIONS</b>	<b>\$0</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>\$0</b>	<b>0</b>
OTHER CHARGES POSITIONS	\$0	\$0	\$0	\$0	\$0	\$0
NON-TO FTE POSITIONS	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL POSITIONS</b>	<b>\$0</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>\$0</b>	<b>0</b>

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**STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 2 NAME: Alcohol and Tobacco Control

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUTYEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
GENERAL FUND BY:							
Direct	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$285,000	\$0	\$285,000	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$5,372,729	\$2,648,408	\$8,021,137	\$116,704	\$116,704	\$116,704	\$116,704
Statutory Dedications *	\$543,583	\$0	\$543,583	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$6,201,312</b>	<b>\$2,648,408</b>	<b>\$8,849,720</b>	<b>\$116,704</b>	<b>\$116,704</b>	<b>\$116,704</b>	<b>\$116,704</b>

EXPENDITURES:							
Salaries	\$2,704,431	\$0	\$2,704,431	\$0	\$0	\$0	\$0
Other Compensation	\$280,667	\$0	\$280,667	\$0	\$0	\$0	\$0
Related Benefits	\$1,524,990	\$0	\$1,524,990	\$0	\$0	\$0	\$0
Travel	\$37,095	\$0	\$37,095	\$0	\$0	\$0	\$0
Operating Services	\$387,063	\$0	\$387,063	\$0	\$0	\$0	\$0
Supplies	\$80,268	\$0	\$80,268	\$0	\$0	\$0	\$0
Professional Services	\$350,458	\$0	\$350,458	\$0	\$0	\$0	\$0
Other Charges	\$293,000	\$0	\$293,000	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$319,070	\$2,648,408	\$2,967,478	\$116,704	\$116,704	\$116,704	\$116,704
Acquisitions	\$224,270	\$0	\$224,270	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$6,201,312</b>	<b>\$2,648,408</b>	<b>\$8,849,720</b>	<b>\$116,704</b>	<b>\$116,704</b>	<b>\$116,704</b>	<b>\$116,704</b>

POSITIONS							
Classified	44	0	44	0	0	0	0
Unclassified	1	0	1	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>45</b>	<b>0</b>	<b>45</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
OTHER CHARGES POSITIONS	0	0	0	0	0	0	0
NON-TO FTE POSITIONS	1	0	1	0	0	0	0
<b>TOTAL POSITIONS</b>	<b>46</b>	<b>0</b>	<b>46</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

* Statutory Dedications:							
Tobacco Regulation Enforcement Fund (RVC)	\$543,583	\$0	\$543,583	\$0	\$0	\$0	\$0
(Select Statutory Dedication)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
(Select Statutory Dedication)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
(Select Statutory Dedication)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
(Select Statutory Dedication)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
(Select Statutory Dedication)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
(Select Statutory Dedication)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
(Select Statutory Dedication)	\$0	\$0	\$0	\$0	\$0	\$0	\$0



STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 2 NAME: Alcohol and Tobacco Control

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$2,648,408	\$0	\$0	\$2,648,408
<b>EXPENDITURES:</b>						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$2,648,408	\$0	\$0	\$2,648,408
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$2,648,408</b>	<b>\$0</b>	<b>\$0</b>	<b>\$2,648,408</b>
<b>OVER / (UNDER)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**STATE OF LOUISIANA**  
**DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET**  
**REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 3 NAME: Charitable Gaming

MEANS OF FINANCING:	CURRENT FY 2017-2018	REQUESTED ADJUSTMENT	REVISED FY 2017-2018	ADJUSTMENT OUTYEAR PROJECTIONS			
				FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022
<b>GENERAL FUND BY:</b>							
Direct	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Fees & Self-Generated	\$2,320,234	\$500,000	\$2,820,234	\$0	\$0	\$0	\$0
Statutory Dedications *	\$0	\$0	\$0	\$0	\$0	\$0	\$0
FEDERAL FUNDS	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL MOF</b>	<b>\$2,320,234</b>	<b>\$500,000</b>	<b>\$2,820,234</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>EXPENDITURES:</b>							
Salaries	\$972,999	\$0	\$972,999	\$0	\$0	\$0	\$0
Other Compensation	\$27,178	\$0	\$27,178	\$0	\$0	\$0	\$0
Related Benefits	\$525,344	\$0	\$525,344	\$0	\$0	\$0	\$0
Travel	\$15,000	\$0	\$15,000	\$0	\$0	\$0	\$0
Operating Services	\$380,266	\$0	\$380,266	\$0	\$0	\$0	\$0
Supplies	\$8,695	\$0	\$8,695	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$390,752	\$500,000	\$890,752	\$0	\$0	\$0	\$0
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$2,320,234</b>	<b>\$500,000</b>	<b>\$2,820,234</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>POSITIONS</b>							
Classified	20	0	20	0	0	0	0
Unclassified	0	0	0	0	0	0	0
<b>TOTAL T.O. POSITIONS</b>	<b>20</b>	<b>0</b>	<b>20</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>OTHER CHARGES POSITIONS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>NON-TO FTE POSITIONS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>TOTAL POSITIONS</b>	<b>20</b>	<b>0</b>	<b>20</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>* Statutory Dedications:</b>							
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0
[Select Statutory Dedication]	\$0	\$0	\$0	\$0	\$0	\$0	\$0

**STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION, OFFICE OF PLANNING AND BUDGET  
REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

**PROGRAM LEVEL REQUEST FOR MID-YEAR BUDGET ADJUSTMENT**

PROGRAM 3 NAME: Charitable Gaming

MEANS OF FINANCING:	State General Fund	Interagency Transfers	Fees & Self-Generated Revenues	Statutory Dedications	Federal Funds	TOTAL
AMOUNT	\$0	\$0	\$500,000	\$0	\$0	\$500,000
<b>EXPENDITURES:</b>						
Salaries	\$0	\$0	\$0	\$0	\$0	\$0
Other Compensation	\$0	\$0	\$0	\$0	\$0	\$0
Related Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0
Operating Services	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$0	\$0	\$0	\$0	\$0	\$0
Professional Services	\$0	\$0	\$0	\$0	\$0	\$0
Other Charges	\$0	\$0	\$0	\$0	\$0	\$0
Debt Services	\$0	\$0	\$0	\$0	\$0	\$0
Interagency Transfers	\$0	\$0	\$500,000	\$0	\$0	\$500,000
Acquisitions	\$0	\$0	\$0	\$0	\$0	\$0
Major Repairs	\$0	\$0	\$0	\$0	\$0	\$0
UNALLOTTED	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL EXPENDITURES</b>	<b>\$0</b>	<b>\$0</b>	<b>\$500,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$500,000</b>
<b>OVER / (UNDER)</b>						
	\$0	\$0	\$0	\$0	\$0	\$0

## QUESTIONNAIRE ANALYSIS

### GENERAL PURPOSE

This BA-7 request is to increase budget authority for technology systems, software licensing and maintenance, hardware replacement, and building security remodel.

### REVENUES

#### Fees & Self-Generated Revenues

Funds are generated from delinquent penalty and interest fees, licensing and permit fees.

Office of Revenue Current Self-generated Appropriation:	\$	67,107,815
BA-7 Request:	\$	8,747,529
Revised Amount:	\$	75,855,344

### EXPENDITURES

Program	Object	Amount
Tax Collection		
LaSalle Building Remodel	5000	\$ 788,800
GenTax Software Licensing Support		\$ 1,357,803
Microsoft Licensing		\$ 45,000
Human Resources electronic records storage		\$ 1,800
Economic Model licensing and maintenance		\$ 49,000
Ancillary Database upgrades		\$ 99,000
SANS for Datacenter (2)		\$ 1,094,618
Lease of desktops and laptops		\$ 413,100
Office of Debt Recovery replacement system		\$ 1,750,000
	5045	\$ 4,810,321
<b>Total Tax Collection Program</b>		<b>\$ 5,599,121</b>
Alcohol and Tobacco Control		
Lease of desktops and laptops, support services		\$ 116,704
Licensing and Enforcement system application		\$ 2,531,704
<b>Total ATC Program</b>	5045	<b>\$ 2,648,408</b>
Charitable Gaming		
Bingo, Licensing, Accounting, & Inventory Reporting system		\$ 500,000
<b>Total Charitable Gaming</b>	5045	<b>\$ 500,000</b>
<b>Total Interagency Transfers</b>		<b>\$ 8,747,529</b>

### OTHER

Clarence Lymon, 225/219-2150, Clarence.Lymon@la.gov  
BA-7 SUPPORT INFORMATION:



**DIVISION OF ADMINISTRATION**  
**Facility Planning & Control**

**JOINT LEGISLATIVE COMMITTEE**  
**ON THE**  
**BUDGET**

**Briefing Book**

**FOR**

**February 2018**

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**JOINT LEGISLATIVE COMMITTEE ON THE BUDGET**  
**February 2018**

**Supplemental Funds Request** **1**

Statutory Dedication – Transportation Trust Fund  
Department of Transportation and Development (DOTD)  
07/277 Aviation Improvements  
State Aviation and Airport Improvement Program  
(Statewide)

**Reporting of Change Orders over \$50,000 and under \$100,000** **2**

- 1) Hurricane Katrina Repairs, Permanent Pool Repairs, University Center  
Southern University at New Orleans  
New Orleans, Louisiana  
Project Nos. 01-107-05B-13, Part GR; F.01000465 and  
19-615-16-01; F19002155
  
- 2) Pond Improvements  
Booker Fowler Fish Hatchery  
Department of Wildlife and Fisheries  
Forest Hill, Louisiana  
Project No. 16-514-13-01, Part 01; F.16000042

Office of the Commissioner  
State of Louisiana  
Division of Administration

JOHN BEL EDWARDS  
GOVERNOR



JAY DARDENNE  
COMMISSIONER OF ADMINISTRATION

December 21, 2017

The Honorable Cameron Henry, Chairman  
Joint Legislative Committee on the Budget  
Post Office Box 44294, Capitol Station  
Baton Rouge, Louisiana 70804

**Re: Supplemental Funds Request  
Statutory Dedication – Transportation Trust Fund  
Department of Transportation and Development (DOTD)  
07/277 Aviation Improvements  
State Aviation and Airport Improvement Program  
(Statewide)**

Dear Chairman Henry:

Act 4 of the 2017 Second Extraordinary Session appropriated \$28,268,784 from the Transportation Trust Fund – Regular for the "State Aviation and Airport Improvement Program" project. DOTD has requested that the appropriation from the Transportation Trust Fund - Regular be increased to \$28,359,079 based on the May 16, 2017 REC Forecast.

Therefore, we are requesting that the Committee approve an increase to the statutory dedication appropriation from the Transportation Trust Fund – Regular in the amount of \$90,295. The result will be a total appropriation of \$28,359,079.

Please place this item on the agenda for the next meeting of the Committee.

Sincerely,

Mark A. Moses  
Director

Jay Dardenne  
Commissioner of Administration

MAM/kh

CC: Mr. Mark Moses, FPC  
Mr. John Hodnett, FPC  
Mr. Mark Gates, FPC  
Ms. Sue Wheeler, FPC  
Ms. Ternisa Hutchinson, OPB  
Mr. Barry Dusse, OPB  
Mr. Samuel Roubique, OPB  
Mr. Paul Fernandez, OPB  
Ms. Katie Andress, House Fiscal Division  
Ms. Ashley Albritton, House Fiscal Division  
Ms. Martha Hess, Senate Counsel  
Ms. Raynel Gascon, Senate Fiscal Division



Office of the Commissioner  
State of Louisiana  
Division of Administration

JOHN BEL EDWARDS  
GOVERNOR



JAY DARDENNE  
COMMISSIONER OF ADMINISTRATION

December 21, 2017

The Honorable Cameron Henry, Chairman  
Joint Legislative Committee on the Budget  
Post Office Box 44294, Capitol Station  
Baton Rouge, Louisiana 70804

**RE: Reporting of Change Orders over \$50,000 and under \$100,000  
Facility Planning and Control**

Dear Chairman Henry:

In accordance with R.S. 39:126 any change order in excess of fifty thousand dollars but less than one hundred thousand dollars shall be submitted to the Joint Legislative Committee on the Budget for review but shall not require committee approval. Pursuant to this authority Facility Planning and Control has issued change orders which are itemized on the attached list.

Please place this item on the agenda of the next meeting of the Committee.

Sincerely,

Mark A. Moses  
Director

Jay Dardenne  
Commissioner of Administration

MAM/kh

CC: Mr. Mark Moses, FPC  
Mr. John Hodnett, FPC  
Mr. Mark Gates, FPC  
Ms. Sue Wheeler, FPC  
Ms. Ternisa Hutchinson, OPB  
Mr. Barry Dusse, OPB  
Mr. Samuel Roubique, OPB  
Mr. Paul Fernandez, OPB  
Ms. Katie Andress, House Fiscal Division  
Ms. Ashley Albritton, House Fiscal Division  
Ms. Martha Hess, Senate Counsel  
Ms. Raynel Gascon, Senate Fiscal Division

1. **Hurricane Katrina Repairs, Permanent Pool Repairs, University Center**  
**Southern University at New Orleans**  
**New Orleans, Louisiana**  
**Project No. 01-107-05B-13, Part GR; F.01000465 and**  
**19-615-16-01; F.19002155**  
**State ID: S00309**  
**Site Code: 1-36-007**  
**Date of Contract: August 4, 2017**  
**Original Contract Amount: \$ 59,800.00**  
**Contract Amount Increased by Change Order 1: \$ 59,744.80 11/06/17**  
**New Contract Sum: \$119,544.80**

Change Order No. 1 increases the contract amount to provide for resurfacing of the interior of the swimming pool at SUNO, along with the replacement of four pool lights. The project originally called for the surface of the pool to be cleaned, only. After further investigation, it was determined that the existing pool surface was permanently stained from the long standing stagnant water that had been in the pool since Hurricane Katrina, and could not be cleaned through any standard cleaning methods. Therefore, the surface had to be removed and replaced with a new pool finish, which has been deemed an unforeseen condition.

This increased amount is covered by the remaining FEMA project contingency and supplemented with funds assigned to the campus for Major Repairs and Deferred Maintenance of Buildings and Facilities, Planning and Construction.

2. **Pond Improvements**  
**Booker Fowler Fish Hatchery**  
**Department of Wildlife and Fisheries**  
**Forest Hill, Louisiana**  
**Project No. 16-514-13-01, Part 01; WBS F.16000042**  
**State ID: N/A**  
**Site Code: 6-40-011**  
**Date of Contract: December 29, 2016**  
**Original Contract Amount: \$1,721,055.00**  
**Changes by previous Change Orders: \$ 82,307.00**  
    Change Order 1: \$ 3,082.00 03/24/17  
    Change Order 2: \$ .00 07/11/17  
    Change Order 3: \$ .00 09/11/17  
    Change Order 4: \$ 76,488.00 09/22/17 (Reported 12/15/17)  
    Change Order 5: \$ 2,737.00 11/28/17  
**Contract Amount Increased by Change Order 6: \$ 88,456.00 01/05/18**  
**New Contract Sum: \$ 1,891,818.00**

Change Order No. 6 increases the contract amount in order to restore Sediment Pond #2 to an operable condition by excavation, reshaping, slope stabilization, and reconstruction of the wastewater discharge. This scope was part of the original program, but was removed from the project during design due to budget concerns. The User Agency has requested that this scope of work be added back into the project since the project bid below the available funds amount.

**Office of Risk Management**  
**Insurance Broker-of-Record Contract**  
2/23/2018

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**Introduction**

Per La R.S. 39:1540 B.(2) (Act 715 of the 2014 Regular Session), ORM is seeking approval for the insurance broker contract effective February 1, 2018. ORM is also seeking approval of a five-year contract term.

**Description of Services**

The awarded contractor is the State of Louisiana's insurance broker-of-record and shall develop and place effective and cost-efficient insurance coverage, and provide a range of consulting services associated with the Statewide property and casualty programs. The contractor will provide annual review of risk exposure and commercial insurance program structure, develop recommendations and re-structuring options based on relevant market conditions, present ORM with competitive quotes, and place and service the coverage. They will also provide specialized consulting services as needed, such as new exposure analysis, insurance market research, claim trend analysis, etc.

**Review of Procurement Process**

ORM prepared an RFP, released September 2017, and completed the evaluation of the 3 received proposals. We evaluated the proposals in detail and conducted oral interviews of the top 2 candidates. The final evaluation summary sheet listing all of the proposers and their respective scores is available to the committee.

The contract was awarded to the incumbent broker Arthur J. Gallagher. Gallagher is the 4<sup>th</sup> largest broker in the world and maintains a strong presence in Louisiana with a large office in Baton Rouge. They are partnered with two qualified Hudson Initiative Partners, Noah W. Lewis and Associates of New Orleans and QMS, Inc. to provide loss data analysis that will assist in loss reduction opportunities and compilation of risk newsletters to state agencies.

Gallagher's proposal was thorough, descriptive, and forward-looking. They provided the most innovative ideas and solutions to continue moving the State's insurance programs forward building on the progress we have made over the last three years. Their higher education specialty practice has been and will continue to be involved in developing and maximizing specialized coverages and providing education and training to the State's higher education institutions. Their objectives of maintaining premium stability of current programs while providing coverage improvements are in line with ORM's goals and long-term mission.

The annual cost of the broker contract is \$1,050,000, with a five-year total of \$5,250,000. Previously, broker services were delivered under two separate contracts – one for property, one for casualty – for a total annual cost of \$990,000. All services were combined under one RFP and thus one contract beginning February 1, 2018 with a minor increase in total annual cost. ORM determined that one contract is more manageable and effective due to a natural overlap in services between the two contracts previously.

**Justification**

A five (5) year contract is the best business decision to support maintaining a stable risk management program for the State. Gallagher has partnered successfully with ORM and they have satisfactorily delivered the full scope of contract services under the expiring contracts. Over the last three years, ORM has had ample time to monitor and evaluate the services provided by Gallagher, the expenditure of funds under the contract, and daily monitoring of their performance. In the first year of the previous contract term, Gallagher saved the State nearly \$10 million in commercial premiums. In years 2 and 3, premium



rates were maintained and both the property and casualty programs were further stabilized by including a broad range of insurers and capital market capacity.

The broker contract requires delivery of complex services as detailed in the contract. Due to the State's breadth of operations and exposure and ORM's scope of coverage lines, there is a significant learning curve any new broker faces in handling the risk management program for the State of Louisiana. Effective insurance programs are built and relationships with international markets established over the long-term. Services of this complexity are not cost-effective and efficiently provided under short interval contracts.

## **STATE OF LOUISIANA BROKER SERVICES CONTRACT**

On this 4th day of January, 2018, the Office of Risk Management, hereinafter sometimes referred to as “ORM” or “State”, and Arthur J. Gallagher Risk Management Services, Inc., 235 Highlandia Drive, Suite 200, Baton Rouge, LA 70810, hereinafter sometimes referred to as the “Contractor”, do hereby enter into a contract under the following terms and conditions.

### **1 SCOPE OF SERVICES**

#### **1.1 CONCISE DESCRIPTION OF SERVICES**

A single Contractor will be the State of Louisiana’s insurance broker-of-record and shall develop and place the most effective and cost-efficient insurance coverage, and provide a range of consulting services associated with the Statewide property and casualty programs. The Contractor will provide brokerage and consulting services to assist ORM in fulfilling its critical role to ensure proper protection of the State’s assets and activities on behalf of the State’s citizens and taxpayers. The Contractor will develop re-structuring program options, market the coverage, present ORM with competitive quotes with recommendations, and place and service the coverage. Related coverages and services may be added to each program at any time during the contract period and the Contractor must handle all additions.

The current Statewide property program consists of coverage for buildings and business property, equipment breakdown/boiler and machinery, fine arts, specialized equipment, and business interruption coverage. Possible placement and servicing of National Flood Insurance Program (NFIP) policies must be included.

The current Statewide casualty program consists of coverage for general, professional, and media liability encompassing all State Agencies and various professional obligations. The program may include excess/reinsurance on certain lines, and includes coverage of students, student organizations and related programs.

The Statewide casualty program shall encompass services for:

- Commercial General Liability including or independent placement of:
  - Professional Liability
  - Publishers Media
  - Elevator and Escalator Liability
  - Watercraft Liability
  - Public Officials and Employees Liability
  - Employee Benefits Liability
  - Garage Keepers’ Liability
  - Special Event/Entertainment Liability
  - Liquor Liability
  - Educators’ Legal Liability
  - Law Enforcement Liability
  - Sexual Abuse and Molestation
- Workers’ Compensation and Employers’ Liability
- Medical Malpractice
- Wet Marine Hull and P&I
- Aircraft Hull and Liability
- Airport Liability
- Cyber Liability
- Publisher’s Media
- Automobile Liability and Physical Damage

- Bonds (Fidelity & Surety) and Crime
- Club Sports Liability and Accident
- Intellectual Property Liability
- Student Liability including or independent placement of:
  - Student Organization Liability
  - Student Internship/Professional Liability
  - Participant Accident Insurance
- International Travel insurance
- Non-Owned Aircraft Liability
- Master Builder's Risk and/or OCIP
- Crisis Response Management Coverage

Coverage of the Mercedes-Benz Superdome, the Smoothie King Center, Champions Square and SMG is part of the Statewide program, carrying its own segregated policies. The policies will remain separated, although ORM has statutory oversight of the Superdome coverage lines and shall authorize final approval. The State is statutorily obligated to provide only the following casualty coverage lines for: 1) Commercial General Liability including Host Liquor Liability 2) Workers' Compensation and Employers' Liability and 3) Bond and Crime including employee theft.

## **1.2 STATEMENT OF WORK**

See Attachment I, Scope of Services.

### **1.2.1. MONITORING PLAN**

Kristy Breaux, State Risk Administrator, or her designee, will monitor the services provided by the Contractor and the expenditure of funds under this contract. Ms. Breaux, or her designee, will be primarily responsible for the day-to-day contact with the Contractor and day-to-day monitoring of the Contractor's performance.

### **1.2.2. DELIVERABLES**

The contract will be considered complete when Contractor has delivered and ORM has accepted all deliverables specified in the Statement of Work.

### **1.2.3. Veteran-Owned and Service-Connected Small Entrepreneurships (Veteran Initiative) and Louisiana Initiative for Small Entrepreneurships (Hudson Initiative) Programs Reporting Requirements**

During the term of the contract and at expiration, the Contractor will be required to report Veteran-Owned and Service-Connected Disabled Veteran-Owned and Hudson Initiative small entrepreneurship subcontractor or distributor participation and the dollar amount of each.

### **1.2.4. SUBSTITUTION OF KEY PERSONNEL**

The Contractor will assign the personnel listed in his proposal. The Contractor's personnel assigned to this contract shall not be replaced without the prior written consent of ORM. Such consent shall not be unreasonably withheld or delayed provided an equally qualified replacement is offered. In the event that any ORM or Contractor personnel become unavailable due to resignation, illness, or other factors, excluding assignment to projects outside this contract, outside of ORM's or Contractor's reasonable control, as the case may be, ORM or the Contractor shall be responsible for providing an equally qualified replacement in time to avoid delays in completing tasks.

## 2 ADMINISTRATIVE REQUIREMENTS

### 2.1 TERM OF CONTRACT

This contract shall begin on February 1, 2018 and shall end on January 31, 2023. In accordance with Section 1.4 of RFP Broker Services 2018, ORM exercises its right to contract for five (5) years with the concurrence of the Contractor and all appropriate approvals.

### 2.2 STATE FURNISHED RESOURCES

Notwithstanding the Contractor's responsibility for management during the performance of this contract, Ms. Breaux, or her designee, shall be the principal point of contact on behalf of the State.

### 2.3 TAXES

Contractor is responsible for payment of all applicable taxes from the funds to be received under this contract. This does not apply to insurance company surplus lines taxes and Federal Excise Taxes, if applicable. Contractor's federal tax identification number is 36-2102482.

## 3 COMPENSATION AND MAXIMUM AMOUNT OF CONTRACT

### 3.1 PAYMENT TERMS

In consideration of the services required by this contract, ORM hereby agrees to pay the Contractor a fixed annual fee of \$ 1,050,000. The maximum amount payable under this contract is \$ 5,250,000. Contractor shall retain commission from NFIP coverage in the event such coverage is placed and if the return of such commission is disallowed. Payments are predicated upon successful completion or acceptable progress and written approval by ORM of the described tasks and deliverables as provided in Attachment I, Scope of Services. Payments will be made to the Contractor after written acceptance by ORM of the tasks and approval of an invoice. ORM will make every reasonable effort to make payments within 30 days of the approval of invoice under a valid contract.

During the execution of tasks contained in the Attachment I, Scope of Services, the Contractor may submit invoices, not more frequently than quarterly. The maximum schedule of invoicing is as follows:

Invoice #	To be dated the last working day of	Percent of fixed annual fee
1	February	20%
2	May	30%
3	August	30%
4	November	20%

ORM reserves the right to reduce the flat annual fee otherwise due to the Contractor by \$1,000 per day when each independent Key Deliverable, found in Section 1.3.A. of Attachment I, Scope of Services, is not successfully completed and delivered in the timeframe stated herein. If circumstances arise that are out of the control of the Contractor and will impact Contractor's performance, a clear explanation must be provided as soon as possible.



Payment of insurance premiums will be made under this contract and through the Contractor when approved programs are bound. Contractor will invoice insurance premiums separately from Contractor's fee. Contractor will be responsible to forward payment to the applicable markets. Any commission included in premiums for domestic wholesalers shall be disclosed and returned to ORM.

## **4 TERMINATION**

### **4.1 TERMINATION FOR CAUSE**

The State may terminate this contract for cause based upon the failure of the Contractor to comply with the terms and/or conditions of the Contract; provided that the State shall give the Contractor written notice specifying the Contractor's failure. If within fifteen (15) days after receipt of such notice, the Contractor shall not have corrected such failure or thereafter proceeded diligently to complete such correction, then the State may, at its option, place the Contractor in default and the Contract shall terminate on the date specified in such notice. The Contractor may exercise any rights available to it under Louisiana Law to terminate for cause upon the failure of the State to comply with the terms and conditions of this contract; provided that the Contractor shall give the State written notice specifying the State's failure.

### **4.2 TERMINATION FOR CONVENIENCE**

The State may terminate any contract entered into as a result of this RFP at any time by giving thirty (30) days written notice to the Contractor. The Contractor shall be entitled to payment for deliverables in progress, to the extent work has been performed satisfactorily.

### **4.3 TERMINATION FOR NON-APPROPRIATION OF FUNDS**

The continuance of this contract is contingent upon the appropriation of funds to fulfill the requirements of the contract by the legislature. If the legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act or Title 39 of the Louisiana Revised Statutes of 1950 to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds are not appropriated.

## **5 FORCE MAJEUR AND INDEMNIFICATION**

Neither party shall be liable for any delay or failure in performance beyond its control resulting from acts of God or force majeure. The parties shall use reasonable efforts to eliminate or minimize the effect of such events upon performance of their respective duties under contract.

Contractor shall be fully liable for the actions of its agents, employees, partners or subcontractors and shall fully indemnify and hold harmless the State of Louisiana and ORM from suits, actions, damages and costs of every name and description relating to the activities to be carried out pursuant to this contract, including but not limited to personal injury and property damage caused by Contractor, its agents, employees, partners or subcontractors, without limitation, provided, however, that the Contractor shall not indemnify for that portion of any claim, loss or damage arising hereunder due to the negligent act or failure to act of ORM.

Contractor's liability to ORM, arising from any negligent acts or omissions of Contractor, whether related to the services provided hereunder or not, shall not exceed \$20 million in the

aggregate. Without limiting the foregoing, Contractor shall only be liable for actual damages incurred by ORM, and shall not be liable for any indirect, consequential or punitive damages.

If applicable, Contractor will indemnify, defend and hold the State and its Authorized Users harmless, without limitation, from and against any and all damages, expenses (including reasonable attorneys' fees), claims, judgments, liabilities and costs which may be finally assessed against the State in any action for infringement of a United States Letter Patent with respect to the Products furnished, or of any copyright, trademark, trade secret or intellectual property right, provided that the State shall give the Contractor: (i) prompt written notice of any action, claim or threat of infringement suit, or other suit, (ii) the opportunity to take over, settle or defend such action, claim or suit at Contractor's sole expense, and (iii) assistance in the defense of any such action at the expense of Contractor. Where a dispute or claim arises relative to a real or anticipated infringement, the State or its Authorized Users may require Contractor, at its sole expense, to submit such information and documentation, including formal patent attorney opinions, as the Commissioner of Administration shall require.

The Contractor shall not be obligated to indemnify that portion of a claim or dispute based upon: i) Authorized User's unauthorized modification or alteration of a Product, Material or Service; ii) Authorized User's use of the Product in combination with other products not furnished by Contractor; iii) Authorized User's use in other than the specified operating conditions and environment.

In addition to the foregoing, if the use of any item(s) or part(s) thereof shall be enjoined for any reason or if Contractor believes that it may be enjoined, Contractor shall have the right, at its own expense and sole discretion as the Authorized User's exclusive remedy to take action in the following order of precedence: (i) to procure for the State the right to continue using such item(s) or part (s) thereof, as applicable; (ii) to modify the component so that it becomes non-infringing equipment of at least equal quality and performance; or (iii) to replace said item(s) or part(s) thereof, as applicable, with non-infringing components of at least equal quality and performance, or (iv) if none of the foregoing is commercially reasonable, then provide monetary compensation to the State up to the dollar amount of the Contract.

Unless otherwise specifically enumerated herein or in the work order mutually agreed between the parties, neither party shall be liable to the other for special, indirect or consequential damages, even if each party has been advised of the possibility of such damages. Neither party shall be liable for lost profits, lost revenue or lost institutional operating savings.

ORM may, in addition to other remedies available to them at law or equity and upon notice to the Contractor, retain such monies from amounts due Contractor, or may proceed against the performance and payment bond, if any, as may be necessary to satisfy any claim for damages, penalties, costs and the like asserted by or against them.

## **6 CONTRACT CONTROVERSIES**

Any claim or controversy arising out of the contract shall be resolved by the provisions of Louisiana Revised Statute 39: 1672.2-1672.4 and specifications listed in the RFP and this contract.

## **7 FUND USE**

Contractor agrees not to use contract proceeds to urge any elector to vote for or against any candidate or proposition on an election ballot nor shall such funds be used to lobby for or against any proposition or matter having the effect of law being considered by the Louisiana Legislature or any local governing authority. This provision shall not prevent the normal dissemination of factual information relative to a proposition on any election ballot or a proposition or matter having the effect of law being considered by the Louisiana Legislature or any local governing authority.

## **8 ASSIGNMENT**

No Contractor shall assign any interest in this contract by assignment, transfer, or novation, without prior written consent of ORM. This provision shall not be construed to prohibit the Contractor from assigning to a bank, trust company, or other financial institution any money due or to become due from approved contracts without such prior written consent. Notice of any such assignment or transfer shall be furnished promptly to ORM.

## **9 RIGHT TO AUDIT**

The State Legislative Auditor, agency, and/or federal auditors and internal auditors of the Division of Administration shall have the option to audit all accounts directly pertaining to the contract for a period of five (5) years from the date of the last payment made under this contract. Records shall be made available during normal working hours for this purpose.

## **10 RECORD RETENTION**

The Contractor agrees to retain all records and other documents relevant to this contract in accordance with the Louisiana Public Records Law, LA R. S. 44:1 et seq.

## **11 CONTRACT MODIFICATION**

No amendment or variation of the terms of this contract shall be valid unless made in writing, signed by the parties and approved as required by law. No oral understanding or agreement not incorporated in the contract is binding on any of the parties.

## **12 CONFIDENTIALITY OF DATA**

All financial, statistical, personal, technical and other data and information relating to the State's operations which are designated confidential by the State and made available to the Contractor in order to carry out this contract, or which become available to the Contractor in carrying out this contract, shall be protected by the Contractor from unauthorized use and disclosure through the observance of the same or more effective procedural requirements as are applicable to the State. The identification of all such confidential data and information as well as the State's procedural requirements for protection of such data and information from unauthorized use and disclosure shall be provided by ORM in writing to the Contractor. If the methods and procedures employed by the Contractor for the protection of the Contractor's data and information are deemed by ORM to be adequate for the protection of the State's confidential information, such methods and procedures may be used, with the written consent of ORM, to carry out the intent of this paragraph. The Contractor shall not be required under the provisions of the paragraph to keep confidential any data or information which is or becomes publicly available, is already rightfully in the Contractor's possession, is independently developed by the Contractor outside the scope of the contract, or is rightfully obtained from third parties.

## **13 OWNERSHIP**

All records, reports, documents and other material delivered or transmitted to Contractor by ORM shall remain the property of ORM, and shall be returned by Contractor to ORM, at Contractor's expense, at termination or expiration of this contract. All records, reports, documents, or other material related to this contract and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of ORM, and shall, upon request, be returned by Contractor to ORM, at Contractor's expense, at termination or expiration of this contract.

Contractor has the duty to fully cooperate with the State and provide any and all requested information, documentation, etc. to the State when requested. This applies even if an eventual

contract is terminated and/or a lawsuit is filed. Specifically, the Contractor does not have the right to limit or impede the State's right to audit or to withhold State owned documents.

#### **14 SUBCONTRACTORS**

The Contractor may, with prior written permission from ORM, enter into subcontracts with third parties for the performance of any part of the Contractor's duties and obligations. In no event shall the existence of a subcontract operate to release or reduce the liability of the Contractor to ORM for any breach in the performance of the Contractor's duties. The Contractor will be the single point of contact for all subcontractor work.

#### **15 COMPLIANCE WITH CIVIL RIGHTS LAWS**

The Contractor agrees to abide by the requirements of the following as applicable: Title VI and Title VII of the Civil Rights Act of 1964, as amended by the Equal Opportunity Act of 1972, Federal Executive Order 11246, the Federal Rehabilitation Act of 1973, as amended, the Vietnam Era Veteran's Readjustment Assistance Act of 1974, Title IX of the Education Amendments of 1972, the Age Act of 1975, and Contractor agrees to abide by the requirements of the Americans with Disabilities Act of 1990.

Contractor agrees not to discriminate in its employment practices, and will render services under this contract without regard to race, color, religion, sex, sexual orientation, national origin, veteran status, political affiliation, disability, or age. Any act of discrimination committed by Contractor, or failure to comply with these statutory obligations when applicable shall be grounds for termination of this contract.

#### **16 INSURANCE**

The Contractor shall maintain the insurance as shown in Exhibit A attached to this contract for the full term of the contract. Failure to comply shall be grounds for termination of this contract.

#### **17 COMMISSIONER'S STATEMENTS**

Statements, acts and omissions made by or on behalf of the Commissioner of Administration regarding the RFP or RFP process, this Contract, any Contractor and/or any subcontractor of the Contractor shall not be deemed a conflict of interest when the Commissioner is discharging her duties and responsibilities under law, including, but not limited, to the Commissioner of Administration's authority in procurement matters.

#### **18 APPLICABLE LAW**

This contract shall be governed by and interpreted in accordance with the laws of the State of Louisiana. Venue of any action brought with regard to this contract shall be in the Nineteenth Judicial District Court, Parish of East Baton Rouge, State of Louisiana.

#### **19 CODE OF ETHICS**

The Contractor acknowledges that Chapter 15 of Title 42 of the Louisiana Revised Statutes (R.S. 42:1101 et. seq., Code of Governmental Ethics) applies to the Contracting Party in the performance of services called for in this contract. The Contractor agrees to immediately notify ORM if potential violations of the Code of Governmental Ethics arise at any time during the term of this contract.

#### **20 SEVERABILITY**

If any term or condition of this contract or the application thereof is held invalid, such invalidity shall not affect other terms, conditions, or applications which can be given effect without the



invalid term, condition, or application; to this end the terms and conditions of this contract are declared severable.

## **21 NOTICE**

The address for mailing of notices is as follows:

If to ORM:	1201 North 3rd Street, Suite G-192 Baton Rouge, LA 70802
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If to Arthur J. Gallagher Risk Management Services, Inc.:	235 Highlandia Drive, Suite 200 Baton Rouge, LA 70803-7907
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## **22 MISCELLANEOUS**

The language of this Agreement shall be construed as to its fair meaning and not strictly for or against either party. Any rule of construction to the effect that ambiguities are resolved against the drafting party shall not apply to the interpretation of this agreement.

## **23 COMPLETE CONTRACT**

This is the complete contract between the parties with respect to the subject matter and all prior discussions and negotiations are merged into this contract. This contract is entered into with neither party relying on any statement or representation made by the other party not embodied in this contract and there are no other agreements or understanding changing or modifying the terms. This contract shall become effective upon final statutory approval.

## **24 ENTIRE AGREEMENT**

This contract, together with the RFP and addenda issued thereto by ORM, the proposal submitted by the Contractor in response to ORM's RFP, and any exhibits incorporated herein by reference, shall constitute the entire agreement between the parties with respect to the subject matter.

## **25 ORDER OF PRECEDENCE**

In the event of any inconsistent or incompatible provisions, this signed agreement (excluding the RFP and the Contractor's proposal) shall take precedence, followed by the provisions of the RFP, and then by the terms of the Contractor's proposal.

THUS DONE AND SIGNED on the date(s) noted below:

ARTHUR J. GALLAGHER RISK  
MANAGEMENT SERVICES, INC.:

STATE OF LOUISIANA  
OFFICE OF RISK MANAGEMENT:

_____	By: _____
_____	Title: _____
_____	Date: _____

DRAFT

## EXHIBIT A

### **INSURANCE REQUIREMENTS**

The Contractor shall purchase and maintain for the duration of the contract insurance against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work hereunder by the Contractor, its agents, representatives, and employees.

#### **A. MINIMUM SCOPE AND LIMITS OF INSURANCE**

1. **Workers Compensation**

Workers Compensation insurance shall be in compliance with the Workers Compensation law of the State of Louisiana. Employers Liability is included with a minimum limit of \$1,000,000 per accident/per disease/per employee. If work is to be performed over water and involves maritime exposure, applicable LHWCA, Jones Act, or other maritime law coverage shall be included. A.M. Best's insurance company rating requirement may be waived for workers compensation coverage only.

2. **Commercial General Liability**

Commercial General Liability insurance, including Personal and Advertising Injury Liability, Products and Completed Operations, and defense coverage for Civil Rights violations, shall have a minimum limit per occurrence of \$1,000,000 and a minimum general annual aggregate of \$3,000,000. The Insurance Services Office (ISO) Commercial General Liability occurrence coverage form CG 00 01 (current form approved for use in Louisiana), or equivalent, is to be used in the policy. Claims-made form is unacceptable.

3. **Automobile Liability**

Automobile Liability Insurance shall have a minimum combined single limit per accident of \$1,000,000. ISO form number CA 00 01 (current form approved for use in Louisiana), or equivalent, is to be used in the policy. This insurance shall include third-party bodily injury and property damage liability for owned, hired and non-owned automobiles.

4. **Professional Liability (Errors and Omissions)**

Professional Liability (Error & Omissions) insurance, which covers the professional errors, acts, or omissions of the Contractor, shall have a minimum limit of \$1,000,000. Claims-made coverage is acceptable. The date of the inception of the policy must be no later than the first date of the anticipated work under this contract. It shall provide coverage for the duration of this contract and shall have an expiration date no earlier than 30 days after the anticipated completion of the contract. The policy shall provide an extended reporting period of not less than 24 months, with full reinstatement of limits, from the expiration date of the policy.

#### **B. DEDUCTIBLES AND SELF-INSURED RETENTIONS**

Any deductibles or self-insured retentions must be declared to and accepted by ORM. The Contractor shall be responsible for all deductibles and self-insured retentions.

#### **C. OTHER INSURANCE PROVISIONS**

The policies are to contain, or be endorsed to contain, the following provisions:

## 1. Commercial General Liability and Automobile Liability Coverages

- a. ORM, its officers, agents, employees and volunteers shall be named as an additional insured as regards negligence by the Contractor. ISO Form CG 20 10 (for ongoing work) AND CG 20 37 (for completed work) (current forms approved for use in Louisiana), or equivalents, are to be used when applicable. The coverage shall contain no special limitations on the scope of protection afforded to the Agency.
- b. The Contractor's insurance shall be primary as respects ORM, its officers, agents, employees and volunteers for any and all losses that occur under the contract. Any insurance or self-insurance maintained by the Agency shall be excess and non-contributory of the Contractor's insurance.
- c. The Contractor's insurance shall apply separately to each insured against whom claim is made or suit is brought, except with respect to the policy limits.

## 2. Workers Compensation and Employers Liability Coverage

To the fullest extent allowed by law, the insurer shall agree to waive all rights of subrogation against ORM, its officers, agents, employees and volunteers for losses arising from work performed by the Contractor for ORM.

## 3. All Coverages

- a. All policies must be endorsed to require 30 days written notice of cancellation to the ORM. Ten-day written notice of cancellation is acceptable for non-payment of premium. Notifications shall comply with the standard cancellation provisions in the Contractor's policy. In addition, Contractor is required to notify Agency of policy cancellations or reductions in limits.
- b. The acceptance of the completed work, payment, failure of the ORM to require proof of compliance, or ORM's acceptance of a non-compliant certificate of insurance shall release the Contractor from the obligations of the insurance requirements or indemnification agreement.
- c. The insurance companies issuing the policies shall have no recourse against ORM for payment of premiums or for assessments under any form of the policies.
- d. Any failure of the Contractor to comply with reporting provisions of the policy shall not affect coverage provided to ORM, its officers, agents, employees and volunteers.

## **D. ACCEPTABILITY OF INSURERS**

All required insurance shall be provided by a company or companies lawfully authorized to do business in the jurisdiction in which the Project is located. Insurance shall be placed with insurers with an A.M. Best's rating of **A:-VI or higher**. This rating requirement may be waived for workers compensation coverage only.

If at any time an insurer issuing any such policy does not meet the minimum A.M. Best rating, the Contractor shall obtain a policy with an insurer that meets the A.M. Best rating and shall submit another Certificate of Insurance within 30 days.



#### **E. VERIFICATION OF COVERAGE**

Contractor shall furnish ORM with Certificates of insurance reflecting proof of required coverage. The Certificates for each insurance policy are to be signed by a person authorized by that insurer to bind coverage on its behalf. The Certificates are to be received and approved by ORM before work commences and upon any contract renewal or insurance policy renewal thereafter.

The Certificate Holder Shall be listed as follows:

State of Louisiana  
Office of Risk Management, Its Officers, Agents, Employees and Volunteers  
1201 North 3rd Street, Suite G-192  
Baton Rouge, LA 70802  
Project or Contract #: Broker Services 2018

In addition to the Certificates, Contractor shall submit the declarations page and the cancellation provision for each insurance policy. The Agency reserves the right to request complete certified copies of all required insurance policies at any time

Upon failure of the Contractor to furnish, deliver and maintain such insurance as above provided, this contract, at the election of ORM, may be suspended, discontinued or terminated. Failure of the Contractor to purchase and/or maintain any required insurance shall not relieve the Contractor from any liability or indemnification under the contract.

#### **F. SUBCONTRACTORS**

Contractor shall include all subcontractors as insureds under its policies OR shall be responsible for verifying and maintaining the Certificates provided by each subcontractor. Subcontractors shall be subject to all of the requirements stated herein. The ORM reserves the right to request copies of subcontractor's Certificates at any time.

#### **G. WORKERS COMPENSATION INDEMNITY**

In the event Contractor, or subcontractor, is not required to provide or elects not to provide workers compensation coverage, the parties hereby agree that Contractor, or subcontractor, its owners, agents and employees will have no cause of action against, and will not assert a claim against, the State of Louisiana and ORM as an employer, whether pursuant to the Louisiana Workers Compensation Act or otherwise, under any circumstance. The parties also hereby agree that the State of Louisiana and ORM shall in no circumstance be, or considered as, the employer or statutory employer of Contractor, or subcontractor, its owners, agents and employees. The parties further agree that Contractor, or subcontractor, is a wholly independent contractor and is exclusively responsible for its employees, owners, and agents. Contractor, or subcontractor, hereby agrees to protect, defend, indemnify and hold the State of Louisiana, its departments, agencies, agents and employees harmless from any such assertion or claim that may arise from the performance of this contract.

## **Attachment I: SCOPE OF WORK/SERVICES**

### **1.1 Scope of Work**

*A single Contractor will be the State of Louisiana's insurance broker-of-record and shall develop and place the most effective and cost-efficient insurance coverage, and provide a range of consulting services associated with the Statewide property and casualty programs. The Contractor will provide brokerage and consulting services to assist ORM in fulfilling its critical role to ensure proper protection of the State's assets and activities on behalf of the State's citizens and taxpayers. The Contractor will provide annual review of risk exposure and program structure, develop recommendations and re-structuring options based on relevant market conditions, market coverages, present ORM with competitive quotes with recommendations, and place and service the coverage. Related coverages and services may be added to each program at any time during the contract period and the Contractor must handle all additions.*

*The current Statewide property program consists of coverage for buildings and business property, equipment breakdown/boiler and machinery, fine arts, specialized equipment, business interruption and various specialty lines encompassing all State Agencies associated obligations as follow:*

- Building/Business Personal property/special form including flood
- Terrorism including Nuclear, Biological, Contamination, and Radioactive coverage
- Business Interruption
- Equipment Breakdown
- Fine Arts
- Bridge Property
- National Flood Insurance Program (subject to applicable national commission structure)

The current Statewide casualty program consists of coverage for liability, auto, workers compensation and various specialty lines encompassing all State Agencies and associated obligations as follows:

- Commercial General Liability including or independent placement of:
  - Professional Liability
  - Publishers Media
  - Elevator and Escalator Liability
  - Watercraft Liability
  - Public Officials and Employees Liability
  - Employee Benefits Liability
  - Garage Keepers' Liability
  - Special Event/Entertainment Liability
  - Liquor Liability
  - Educators' Legal Liability
  - Law Enforcement Liability
  - Sexual Abuse and Molestation
- Workers' Compensation and Employers' Liability
- Medical Malpractice
- Wet Marine Hull and P&I
- Aircraft Hull and Liability
- Airport Liability
- Cyber Liability
- Publisher's Media
- Automobile Liability and Physical Damage
- Bonds (Fidelity & Surety) and Crime
- Club Sports Liability and Accident
- Intellectual Property Liability
- Student Liability including or independent placement of:
  - Student Organization Liability
  - Student Internship/Professional Liability

- Participant Accident Insurance
- International Travel insurance
- Non-Owned Aircraft Liability
- Master Builder's Risk and/or OCIP
- Crisis Response Management Coverage

Coverage of the Mercedes-Benz Superdome, the Smoothie King Center, Champions Square and SMG is part of the Statewide program, carrying its own segregated policies. The policies will remain separated, although ORM has statutory oversight of the Superdome coverage lines and shall authorize final approval. The State is statutorily obligated to provide only the following casualty coverage lines for: 1) Commercial General Liability including Host Liquor Liability 2) Workers' Compensation and Employers' Liability and 3) Bond and Crime including employee theft.

## 1.2 Task and Services

*The Contractor shall provide, at a minimum, the following services for ORM:*

- A. *Act as broker-of-record for new coverages placed during the contract term.*
- B. *Analyze exposure, claims, coverage forms, and current program data to determine various options in property and casualty program structures and provide recommendations to make the program more efficient and effective. Catastrophe modeling through RMS and AIR is required.*
- C. *Identify programs, products, and markets capable of meeting the State's coverage needs. Make recommendations regarding quality of markets, limits, and differences in various markets' terms and conditions.*
- D. *Offer creative solutions and innovative suggestions for ORM to consider.*
- E. *Assist ORM in identifying and organizing pertinent information in order to more effectively market the property and casualty coverage programs. Coordinate the collection of data to include in any market solicitations.*
- F. *With authorization, solicit quotations for the programs. Act as an advocate for the State in communications with the markets and intermediaries, including negotiations of the lowest possible fees and/or deductible options. ORM anticipates participation in the broker meetings with market representatives to assist in the solicitation of the program.*
- G. *For insurance coverage placement, a maximum 10% commission rate will be allowed for those placements utilizing a foreign wholesale/intermediary broker. All foreign wholesale/intermediary compensation must be pre-agreed by ORM and fully disclosed. For all premiums placed through domestic brokers that have a commission component, this commission must be identified and refunded to ORM.*
- H. *Compile quotations for the program in an Excel spreadsheet. Where there are an adequate number of markets to do so, provide multiple quotes for competitive purposes. In the event that this requirement is not possible or recommended, the Contractor must submit an explanation/recommendation to ORM for approval. For those markets that decline to offer a quote on coverage, documentation from the market indicating why they chose not to quote must be provided.*
- I. *Consider quotes from all qualified markets. All contacts from qualified and non-qualified markets must be documented and the Contractor must provide all results to ORM.*
- J. *Upon authorization, bind the program as directed by ORM. Binders and/or confirmation of coverage shall be required upon placement.*
- K. *Review and verify coverage documents received from all bound markets. Determine the coverage placed is correct and verify accuracy of price, rating classification and exposure.*
- L. *In addition to the original paper copies, deliver electronic copies of all coverage documents. All documents shall be submitted electronically (as requested) within 90 calendar days of their effective date.*

*All coverage placed with multiple layers must include an Excel graphic display of the placement showing markets, policy numbers, limits, premiums, taxes, fees, and commissions, if applicable, per layer.*

*M. The Contractor is prohibited from accepting any contingent income, profit sharing, enhanced commission, or other forms of hidden income associated with this contract. Confirm that compensation, including direct and contingent, on all market proposals has not been assessed or has been credited to the premium billed.*

*N. Ensure the timely billing of all documents and endorsements to ORM and assist with premium allocations or breakdowns by agency for internal ORM billing purposes. In the event a Notice of Cancellation has been issued due to nonpayment of premium, work with ORM to resolve the situation and, to the extent possible, make payment on behalf of ORM.*

*O. Prepare certificates of insurance and endorsements, as requested, within 48 hours on a normal schedule and within 12 hours on a rush schedule.*

*P. Ensure proper service from markets on coverage placed and endorsements requested.*

*Q. Assist ORM when other related coverage needs to be added during the term of the contract, at no additional cost.*

*R. Develop a strategy for any upcoming renewal during the contract period to be presented in writing to ORM a minimum of 90 calendar days before expiration. Include and identify any intended intermediaries used in the solicitation process.*

*S. Disclose coverage additions and coverage restrictions on all renewal quotes in a chart format as compared to the expiring coverage.*

*T. Assist ORM with the reporting of claims. Be an advocate for the State on any disputed or problem claims. ORM's third-party administrator shall report the claims to the Contractor and the Contractor will be responsible for the reporting of all claims to the markets. In the event of an incident of high severity, act as an intermediary and advocate for the State with the markets to facilitate communication, data exchange, and prompt resolution of claims.*

*U. Monitor claims submitted to the markets to ensure they are properly handled and responded to in a timely manner. Provide confirmation to ORM with the markets on all claims, including claim number and representative contact information.*

*V. As requested by ORM, obtain clarification regarding coverage or claims questions.*

*W. Provide annual loss runs for each policy a minimum of 60 calendar days before expiration, including any prior year with open losses. These reports shall reflect claims opened and closed and claims reserved and paid by policy year (including all allocated loss adjustment expenses) until all claims are closed. These reports shall be cumulative for the coverage year and not just activity for the year. At ORM's request, loss runs shall be provided at any time during the year.*

*Information to be reflected on the quarterly report for each individual claim shall include but not be limited to the following:*

- Date of Loss;*
- Status of claim (open, closed, reopened);*
- Brief Description of Loss;*
- Name of State Agency;*
- Amount of claim as indicated below (by coverage code, if coverage code is applicable);*
- ☐ *Total Incurred;*
- ☐ *Amount paid;*
- ☐ *Amount reserved;*
- ☐ *Amount recovered;*



- ☐ Amount of loss adjustment expenses; and
- ☐ Net Incurred.

X. Advise ORM on a semiannual basis, or as requested, about current developments in the marketplace as to coverages, forms, availability, pricing or other significant developments that would impact the State or vendors/contractors dealing with the State.

Y. Assist ORM with property-related and casualty-related training classes as needed for State agency personnel. Training on specific topics may be determined by ORM or recommended by the Contractor.

Z. Provide risk management and professional services, as requested by ORM, including, but not limited to, identifying and minimizing loss potential, conducting and/or reviewing property inspections, reviewing casualty exposures, researching alternative risk transfer techniques, attending meetings with State agencies, markets, or other consultants.

AA. Provide wet marine appraisal services every three (3) years for all State fleet with survey reports and pictures for each. The valuations will include both replacement cost and market value.

BB. At the request of ORM, research and provide recommendations for foreign and domestic market captives and/or risk retention pools.

BB. Assist ORM with the analysis and reporting required as per Act 715 of the 2014 LA Legislative Regular Session.

CC. Assist with the reports and supporting justification needed for certification of the State's property programs through the Department of Insurance as required by the Stafford Act.

DD. Submit a semi-annual stewardship report outlining intended activities on behalf of the State for the upcoming six months, including the status of all items in the prior six months' reports. Reports shall be provided two weeks after the end of each six-month calendar period.

EE. Coordinate or perform all required jurisdictional inspections of boilers and pressure vessels. Provide other services that conform to best practices, such as, but not limited to, Transformer Oil Gas Analysis, infrared scanning, and emergency planning assistance.

### **1.3 Deliverables**

#### **A. Key Deliverables**

1. Contractor shall bind coverage as agreed upon by ORM within five (5) calendar days of ORM approval.
2. All coverage documents shall be received (electronically, as requested) within 90 calendar days of their effective date.
3. All certificates of insurance and endorsements shall be received within 48 hours on a normal schedule and within 12 hours on a rush schedule.
4. The Contractor will report all claims within 12 hours to the applicable markets when notified by ORM and/or ORM's TPA.

These Key Deliverables will be subject to a performance penalty as follows:

The flat annual fee otherwise due to the Contractor will be reduced by \$1,000 per day when each independent Key Deliverable is not successfully completed and delivered in the timeframe stated herein.

#### **B. Additional Deliverables**

1. Claims history and loss runs shall be submitted annually, a minimum of 60 calendar days before expiration, and at any time upon request by ORM.

2. Premium rates and commission rates shall be reported per market per layer on the bound insurance program within thirty (30) calendar days of binding. The preferred method of reporting is an Excel spreadsheet.
3. The costs associated with the contract shall be subject to audit. The Contractor shall submit an annual statement identifying all income earned by each party participating in the placement of each of the casualty coverage programs and verify that no direct or indirect compensation has been retained.
4. All requested reports, analyses, and recommendations shall be submitted in a timely manner as determined by ORM and communicated to the Contractor.
5. Contractor will deliver semi-annual stewardship report two weeks after the end of each six month calendar year period.

#### **1.4 Functional Requirements**

LA R.S. 39:1527, et seq, authorizes ORM to be solely responsible for all property and casualty and workers' compensation insurance purchased or self-insured by ORM for all State Departments, Agencies, Boards and Commissions. The mission of ORM is to develop, direct, achieve and administer a cost effective comprehensive risk management program for all departments, agencies, boards and commissions of the State of Louisiana, and for any other entity for which the State has an equity interest, in order to preserve and protect the assets of the State of Louisiana. The Contractor will partner with ORM to determine the most effective and cost-efficient casualty coverage and provide a range of consulting services to assist ORM in reaching and maintaining its goal.

#### **1.5 Technical Requirements**

NOT APPLICABLE TO THIS CONTRACT.

#### **1.6 Project Requirements**

NOT APPLICABLE TO THIS CONTRACT.

## **Justification for Contract 2000161613 Amendment**

### **A Professional Service Agreement between Division of Administration, State of Louisiana and Sedgwick Claims Management Services, Inc.**

**January 31, 2018**

#### **Introduction**

The Division of Administration (DOA), Office of Risk Management (ORM) proposes to modify its existing Contract 2000161613 with Sedgwick Claims Management Services, Inc., the Third Party Administrator (TPA) for insurance claims for ORM lines of insurance. The purpose of this modification is to exercise optional terms identified in the existing contract, including:

- 1) Extending the terms for an additional two (2) years, lengthening the Contract to a maximum period of five (5) years.
- 2) Increasing the compensation and maximum contract amount by \$32,967,083, providing for the additional period of service.

This document summarizes the justification for continuing to procure the additional period of professional services through a contract amendment.

#### **Description of Services**

The scope of services being procured through both the existing and proposed amendment are to: investigate, control and direct claims; ensure consistently successful customer relations; effect reductions in litigation; and provide containment of claims cost and control allocated expenses.

The TPA provides all services associated with investigating, adjusting and paying claims for ORM's lines of insurance. This includes all requisite associated functions such as: Workers' Compensation cost containment services; mandatory reporting to Centers for Medicare & Medicaid Services (CMS), FEMA, excess insurers and other entities; and recovery from third parties, including the Second Injury Fund.

The TPA also provides loss prevention services to include: loss prevention audits of each state agency, analysis of data to identify trends, one-on-one consulting for high risk agencies, and periodic appraisals of all state buildings.

The TPA provides a Risk Management Information System (RMIS) capable of supporting these processes and providing timely accurate information for reporting. The RMIS will also support loss prevention, underwriting, premium development and invoicing functions.

#### **Review of Procurement Processes Used to Competitively Procure Services**

On December 3, 2014, ORM issued a Request for Proposal (RFP #2014 Claims-LP) for proposals for Claims Management and Loss Prevention Services. Four proposers submitted a proposal in response to the RFP and following the evaluation process: Cannon Cochran Management Services, Inc. (CCMSI), MCI Inc. (partnered with Corvel Corporation) (MCI/Corvel), Sedgwick Claims Management Services, Inc. (Sedgwick), and York Risk Services Group, Inc. (York). Following the evaluation process, on March 12, 2015, ORM issued a Notice of Intent to award the contract to Sedgwick.

The proposals submitted by CCMSI, MCI/Corvel, Sedgwick and York were evaluated by a committee comprised of six individuals, three internal and three external persons: two ORM Claims Managers; an ORM Risk Administrator; a DOA Accountant Administrator; an LDR I.T. Management Consultant Supervisor and an employee of LSU Risk Management. After completing the evaluation process, the evaluation committee determined that Sedgwick's proposal offered the best plan for moving ORM's program forward and achieving continued improvement in claims management and loss prevention services. A copy of the Evaluation Score Worksheet prepared and signed by committee members is provided with this document, along with a copy of the signed award letter informing Sedgwick they were selected.

Because of a subsequent protest by York, ORM's incumbent TPA, a significant time delay occurred before the awarded contract was executed and in place. The previous contract expired June 30, 2015, so emergency provisions were negotiated for continuation of these critical TPA services while the protest processes were underway. York continued to provide services to

## Justification for Contract 2000161613 Amendment

the State for the month of July 2015; effective August 2015, Sedgwick began providing TPA services under an emergency contract. The permanent contract issued through the RFP award was executed for a three (3) year period, effective February 1, 2016.

On September 1, 2017, Contract Amendment 1 was executed to increase the compensation and maximum amount of the three (3) year contract relative to Part 3 – Recovery Fees by \$891,000. The amendment was necessary because recoveries collected by Sedgwick in the first 15 months of the contract significantly exceeded the recovery collections anticipated by ORM, based on recoveries corrected in prior fiscal periods. As a result, recovery fees incorporated in the original contract were inadequate to cover the full contract period. A copy of the procurement justification letter for this amendment is provided.

The RFP and terms of the existing contract provide for a five (5) year term, subject to approval by the Joint Legislative Committee on the Budget (JLCB), although management chose to initially contract for a three (3) year period. An amendment is being proposed as the procurement vehicle to extend the contract period for these required services.

### Justification

The decision to extend the contract period from three (3) years to five (5) years is centered on making the best business decision that supports maintaining a stable risk management program for the State. Sedgwick has partnered successfully with ORM and the TPA is satisfactorily delivering the full scope of contract services. Over the last two years, ORM has had ample time to monitor and evaluate the services provided by the TPA, the expenditure of funds under the contract, and the day-to-day monitoring of TPA performance. Since the existing contract is entering the final year of the contract period, ORM believes now is the appropriate time to move forward to extend the contract term and request approval of JLCB.

The TPA contract requires delivery of complex and expansive services, as suggested by the scope of services description on the previous page. Appendix A of the contract contains many pages of detailed specifications, providing both general conditions and provisions unique to the various lines of coverage. There is a *significant* learning curve any new TPA faces in taking over the robust risk management program for the State of Louisiana. In the initial outsourcing contract effective July 1, 2010, ORM chose to engage these TPA services through a five-year contract and allow a phased implementation of the privatization process for this reason.

An extension will also delay the time-consuming effort required of ORM personnel to draft, issue, evaluate and award a new RFP and to complete negotiation of contract terms and contract execution while navigating the Office of State Procurement approval processes to procure the services. An RFP process for a contract of this magnitude involves a large number of staff and resources and is thus very disruptive to ORM operations.

Finally, extending the contract also delays the transition to a new service provider, including a myriad of responsibilities necessary to successfully move to a new service model. It requires large-scale process changes and training, extensive customization to a new IT system, and a massive conversion of historical data from the prior TPA system. Successful completion of these responsibilities require the joint effort of both the new and expiring TPA and significantly draws on the time of every ORM leader and staff member. Services of this complexity are not cost-effective and efficiently provided under short interval contracts.

Below are several comparative statistics for the Workers' Compensation Claims Program that highlight Sedgwick performance during fiscal years 2016 and 2017:

	FY 2015	FY 2016	FY 2017
<b>Closed Claim Ratio</b>	91.50%	107.20%	110.10%
<b>Total Recoveries</b>	\$4,009,379	\$7,144,247	\$7,639,494
<b>Total Medical Paid</b>	\$33,382,340	\$26,670,057	\$28,129,742
<b>Total Managed Care Savings</b>		\$30.9 Million	\$34.1 Million



## **AMENDMENT TO CONTRACT BETWEEN STATE OF LOUISIANA**

Division of Administration/Office of Risk Management

Amendment No. 1

**AND**

Sedgwick Claims Management Services, Inc.  
1100 Ridgeway Loop Road, Memphis, TN 38120

Vendor Number:

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Contract Number: 2000161613

Effective Date: September 1, 2017

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**THIS** Amendment No. 1, with an effective date of September 1, 2017 is entered into by the State of Louisiana Division of Administration, Office of Risk Management ("State") and Sedgwick Claims Management Services, Inc. ("Contractor") and amends the Contract between the parties dated January 28, 2016 for claims adjusting and loss prevention services, Contract number: 2000161613, as described below.

**WHEREAS**, State and Contractor desires to amend the Contract to increase the Compensation and Maximum Amount of the 3 (three) year Contract from \$46,872,744 to the revised amount of \$47,763,744 and increase the Compensation and Maximum Amount of the additional 2 (two) years from \$32,373,083 to revised amount of \$32,967,083.

**NOW, THEREFORE**, in consideration of the mutual agreement contained herein, and other good and valuable consideration, the sufficiency of which is hereby agreed to and acknowledged, the parties hereby agree that the Contract is amended as follows.

### **Amendment Provisions:**

#### **CHANGE NUMBER ONE**

Change to ***Section 6.0 Compensation and Maximum Amount of Contract***

#### ***Original language:***

In consideration of the services required by this contract, STATE hereby agrees to pay to CONTRACTOR a maximum of \$46,872,744 for the three year term. In the event that the option to renew for an additional 2 (two) years is executed, a maximum of \$32,373,083 will be paid for the additional 2 (two) years.

The STATE will pay the Contractor for Service Fees, Emergency Adjusting Fees, and Recovery Fees upon receipt of invoices. CONTRACTOR will submit monthly invoices to the STATE. The format of the invoice is subject to STATE approval.

The Service Fees will be billed in monthly increments, each equal to one twelfth (1/12) of the annual amount specified in Appendix B - Cost Information, Part 1 - Service Fees.

The Emergency Adjusting and Recovery Fees will be billed as they arise, according to the rates established in Appendix B - Cost Information, Part 2 - Emergency Adjusting Fees and Part 3 - Recovery Fees. During the 3 (three) year contract term, Emergency Adjusting fees and Recovery Fees shall not exceed \$5,293,005. In the event that the option to renew for

an additional 2 (two) years is executed, a maximum of \$8,821,675 will be paid for the 5 (five) year period.

Payments will be made only on approval of ORM State Risk Director or designee.

In the event a change occurs in state government structure or STATE's program that results in a significant change in the services required under this Contract, STATE and CONTRACTOR will negotiate a cost adjustment and amend the contract accordingly.

***Original language is amended as follows:***

In consideration of the services required by this contract, STATE hereby agrees to pay to CONTRACTOR a maximum of \$47,763,744 for the three year term. In the event that the option to renew for an additional two (2) years is executed, a maximum of \$32,967,083 will be paid for the additional two (2) years.

The STATE will pay the CONTRACTOR for Service Fees, Emergency Adjusting Fees, and Recovery Fees upon receipt of invoices. CONTRACTOR will submit monthly invoices to the STATE. The format of the invoice is subject to STATE approval.

The Service Fees will be billed in monthly increments, each equal to one-twelfth (1/12) of the annual amount specified in Appendix B – Cost Information, Part 1 – Service Fees.

The Emergency Adjusting and Recovery Fees will be billed as they arise, according to the rates established in Appendix B – Cost Information, Part 2 – Emergency Adjusting Fees and Part 3 – Recovery Fees. During the 3 (three) year contract term, Emergency Adjusting Fees and Recovery Fees shall not exceed \$6,184,005. In the event that the option to renew for an additional two (2) years is executed, a maximum of \$ \$10,306,675 will be paid for the five (5) year period.

Payments will be made only on approval of ORM State Risk Director or designee.

In the event of a change occurs in state government structure or STATE's program that results in a significant change in the services required under this Contract, STATE and CONTRACTOR will negotiate a cost adjustment and amend the Contract accordingly.

**CHANGE NUMBER TWO**

Change to ***Appendix B Cost Information, Contract Total***

***Original Contract Total chart:***

**Contract Total**

	<b>Initial 3-Year Period Contract Total</b>	<b>2 Year Renewal Period Contract Total</b>	<b>5 Year Total</b>
Part 1 – Service Fees	\$41,579,739	\$28,844,413	\$70,424,152
Part 2 – Emergency Adjusting Fees	\$3,628,005	\$2,418,670	\$6,046,675
Part 3 – Recovery Fees	1,665,000	\$1,110,000	\$2,775,000
<b>Total</b>	<b>\$46,872,744</b>	<b>\$32,373,083</b>	<b>\$79,245,827</b>

<b>Contract Total</b>	<b>\$79,245,827</b>
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**Original Contract Total chart is amended as follows:****Contract Total**

	<b>Initial 3-Year Period Contract Total</b>	<b>2 Year Renewal Period Contract Total</b>	<b>5 Year Total</b>
Part 1 – Service Fees	\$41,579,739	\$28,844,413	\$70,424,152
Part 2 – Emergency Adjusting Fees	\$3,628,005	\$2,418,670	\$6,046,675
Part 3 – Recovery Fees	2,556,000	\$1,704,000	\$4,260,000
<b>Total</b>	<b>\$47,763,744</b>	<b>\$32,967,083</b>	<b>\$80,730,827</b>

<b>Contract Total</b>	<b>\$80,730,827</b>
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Note: Amendment increased Part 3 – Recovery Fees for the initial 3 (three) year contract period by \$891,000. In the event the option to renew for an additional 2 (two) years is executed, amendment increased Part 3 – Recovery fees by \$594,000. Total contract increase to Part 3 – Recovery Fees is \$1,485,000.

**CHANGE NUMBER THREE**

Change to **Appendix B Cost Information, Part 3 – Recovery Fees**

**Original Part 3 – Recovery Fees chart**

	Billable Amount			
	Rate	Initial 3-Year Period	2-Year Renewal Period	5-Year Total
Second Injury Fund	11%	\$1,485,000	\$990,000	\$2,475,000
Subrogation*	15%	\$180,000	\$120,000	\$300,000
<b>Total</b>		<b>\$1,665,000</b>	<b>\$1,110,000</b>	<b>\$2,775,000</b>

<b>Total Part 3</b>	<b>\$2,775,000</b>
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**Original Part 3 – Recovery Fees chart is amended as follows:****Part 3 – Recovery Fees**

Recovery Types	Rates	Amended 3-Yr Period	2-Yr Renewal Period	5-Year Total
Second Injury Fund	11%	\$2,160,000	\$1,440,000	\$3,600,000
Subrogation	15%	396,000	264,000	660,000
<b>Total</b>		<b>\$2,556,000</b>	<b>\$1,704,000</b>	<b>\$4,260,000</b>

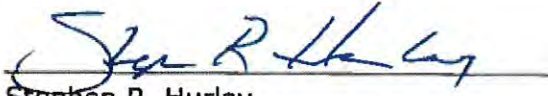
<b>Total Part 3</b>	<b>\$4,260,000</b>
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Note: Amendment increased Second Injury Fund recovery fees for the initial 3 (three) year contract period by \$675,000 and Subrogation recovery fees by \$216,000 for a total increase of \$891,000. In the event the option to renew for an additional 2 (two) years is executed, amendment increased Second Injury Fund recovery fees by \$450,000 and Subrogation recovery fees by \$144,000 for a total increase of \$594,000.

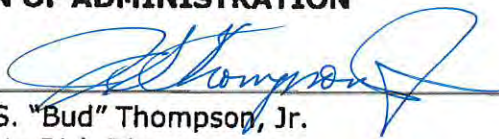
This amendment contains or has attached hereto all revised terms and conditions agreed upon by contracting parties. All other terms and conditions in the original Contract described above will remain the same.


IN WITNESS THEREOF, this amendment is signed and entered into on the date(s) indicated below:

**CONTRACTOR**

BY:   
Name: Stephen R. Hurley  
Title: Senior Vice President  
Sedgwick Claims Management Services, Inc.  
Date: 9-14-2017

**STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION**

BY:   
Name: J. S. "Bud" Thompson, Jr.  
Title: State Risk Director  
Date: 9/14/17

BY:   
Name: Jay Dardenne  
Title: Commissioner of Administration  
Date: 10/18/17





## TREASURER OF THE STATE OF LOUISIANA

**John M. Schroder**  
State Treasurer

P. O. Box 44154  
Baton Rouge, LA 70804  
(225) 342-0010  
[www.latreasury.com](http://www.latreasury.com)

January 31, 2018

Honorable Cameron Henry, Chairman  
Joint Legislative Committee on the Budget  
Post Office Box 44486, Capitol Station  
Baton Rouge, LA 70804

Dear Representative Henry:

Attached is a spreadsheet detailing 9 requests for back pay for Deputy Sheriffs Supplemental pay which have been approved by the Deputy Sheriffs Supplemental Pay Board as per Act 110 of 1982. Please place this item on the agenda for the next meeting.

**Total requested prior year funds: \$13,507.99**

If we may be of further assistance in this matter, please call me or Mary Kathryn Drago at (225) 342-0011.

Sincerely,

A handwritten signature in blue ink that reads "Laura Lapeze".

Laura Lapeze  
Chairman,  
Deputy Sheriffs Supplemental Pay Board

LL/jm

Enclosures

No.	Parish	Deputy Name	Dates Owed	Amount	Reason
1	Red River	Kyle G. Mars	3/27/2017 - 6/30/2017	1,582.15	Application not submitted timely
2	Red River	DeBrandon L. Jackson	5/22/2017 - 6/30/2017	644.30	Application not submitted timely
3	St. John the Baptist	Chris Crawford	3/1/2017 - 6/30/2017	2,000.00	Application not submitted timely
4	St. John the Baptist	Frank Jackson	5/30/2017 - 6/30/2017	532.86	Application not submitted timely
5	St. John the Baptist	Benjamine Teekell	6/12/2017 - 6/30/2017	312.17	Application not submitted timely
6	St. John the Baptist	Leroy Victoriano, Jr.	2/8/2017 - 6/30/2017	2,345.03	Application not submitted timely
7	St. John the Baptist	Larry Williams	1/1/2017 - 6/30/2017	3,000.00	Application not submitted timely
8	St. Tammany	Shilo V Bruhl	4/21/2017 - 6/30/2017	1,164.30	Application not submitted timely
9	St. Tammany	Carlos A Fleming	3/6/2017 - 6/30/2017	1,927.18	Application not submitted timely
<b>Grand Total</b>				<b>13,507.99</b>	

AMENDMENT TO  
AGREEMENT BETWEEN STATE OF LOUISIANA  
LOUISIANA DEPARTMENT OF HEALTH

Amendment #: 1  
LAGOV#: 2000126731  
LDH #: 060724

(Regional/ Program/ Facility) Office for Citizens with Developmental Disabilities  
EarlySteps, Louisiana's Early Intervention System  
AND  
Easter Seals Louisiana  
Contractor Name  
Original Contract Amt \$ 1,411,259.00  
Original Contract Begin Date 05-01-2015  
Original Contract End Date 04-30-2018  
RFP Number: 305PUR-DHHRFP-SPOE

AMENDMENT PROVISIONS

Change Contract From: From Maximum Amount: \$ 1,411,259.00 Current Contract Term: 05/01/2015 - 04/30/2018

CF-1 Block 13 Maximum Contract Amount \$1,411,259 FY15 \$74,932, FY16 \$454,041, FY17 \$472,196, FY18 \$410,090  
Block 14 Terms of Payment: See Attachment III: Budget

Change Contract To: To Maximum Amount: \$ 2,394,788.00 Changed Contract Term: 5/01/2015 - 4/30/2020

CF-1 Block 13 Maximum Contract Amount \$2,394,788 FY15 \$74,932, FY16 \$454,041, FY17 \$472,196, FY18 \$410,090 (10 month), FY 18 \$81,901 (2 month), FY19 \$491,538, FY20 \$410,090  
Block 14 Terms of Payment: See Attachment III: Budget

Justifications for amendment:

The current contract, which was executed via RFP# 305PUR-DHHRFP-SPOE-2014-OCDD on May 1, 2015, expires on April 30, 2018. The RFP included an option to extend the resulting contract from 3 to 5 years. Since 2008, the RFP has been issued 3 times with no other qualified applicants competing. LDH/OCDD is satisfied with the performance of Easter Seals of Louisiana in meeting all deliverables and would like to exercise the option to extend the contract the allowable 24 months, in the Region 1 parishes for EarlySteps, the Louisiana's Early Intervention program.

This Amendment Becomes Effective: 05-01-2018

This amendment contains or has attached hereto all revised terms and conditions agreed upon by contracting parties.

IN WITNESS THEREOF, this amendment is signed and entered into on the date indicated below.

CONTRACTOR	STATE OF LOUISIANA LOUISIANA DEPARTMENT OF HEALTH
Easter Seals Louisiana	Secretary, Louisiana Department of Health or Designee
CONTRACTOR SIGNATURE	SIGNATURE
DATE	DATE
PRINT NAME	NAME
Tracy Garner	Mark A. Thomas
CONTRACTOR TITLE	TITLE
President/CEO	Assistant Secretary
	OFFICE
	Office for Citizens with Developmental Disabilities
	PROGRAM SIGNATURE
	DATE
	NAME

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	32.75	346	11,332	100	0	11,332
EI Consultant/Supervisor	23.08	346	7,986	100	0	7,986
Intake Service Coordinator	18.51	346	6,404	100	0	6,404
Intake Service Coordinator	18.51	346	6,404	100	0	6,404
Intake Service Coordinator	18.51	346	6,404	100	0	6,404
Data Management/Admin Clerk	19.34	346	6,692	100	0	6,692
			0		0	0
			0		0	0
Total			45,222		0	45,222

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA	3,466	100	0	3,466
Health Insurance	4,542	100	0	4,542
Dental Insurance	324	100	0	324
Life Insurance	136	100	0	136
Long Term Disability/AD&D	170	100	0	170
Unemployment	655	100	0	655
			0	0
			0	0
Total	9,293		0	9,293

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 20.55% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Program Director	335	100	0	335
EI Consultant/Supervisor	335	100	0	335
Intake Coordinator	335	100	0	335
Intake Coordinator	335	100	0	335
Intake Coordinator	335	100	0	335
Mileage Conferences & Mtgs.	108	100	0	108
			0	0
			0	0
Total	1,783		0	1,783

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore staff will travel to 3 parishes in Region 1. Staff will also travel to conferences and meetings.



<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$2704x2)	5,408	100	0	5,408
Parking (\$973x 2)	1,946	100	0	1,946
Telephone & Cell Phone Reimbursements (\$911x 2)	1,822	100	0	1,822
Workers Comp (\$501x 2)	1,002	100	0	1,002
Lease (copier & postage machine) (\$496x 2)	992	100	0	992
Postage (\$541x 2)	1,082	100	0	1,082
Equipment Maintenance (\$505x 2)	1,010	100	0	1,010
Employee Training & Orientation (\$45x 2)	90	100	0	90
Payroll Processing & Misc (\$299x 2)	598	100	0	598
<b>Total</b>	<b>13,950</b>		<b>0</b>	<b>13,950</b>

Justification

Office space (including parking) and other operating expenses based upon current property costs in New Orleans, LA.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Supplies (paper, pens, stationary, etc.) (\$1217x2)	2,434	100	0	2,434
Miscellaneous (outside printing) (\$119x 2)	238	100	0	238
			0	0
			0	0
			0	0
<b>Total</b>	<b>2,672</b>		<b>0</b>	<b>2,672</b>

Justification

Office supplies including paper, pens, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Audit/Legal Fees (\$432.60 x 2)	865	100	0	865
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>865</b>		<b>0</b>	<b>865</b>

Justification

Meet state audit requirements.





LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Easter Seals Louisiana Reg 1 FROM: 5/1/18 TO: 6/30/18

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	45,222	0	45,222
RELATED BENEFITS	(41)	9,293	0	9,293
TRAVEL	(12)	1,783	0	1,783
OPERATING SERVICES	(13)	13,950	0	13,950
SUPPLIES	(14)	2,672	0	2,672
PROFESSIONAL SVCS	(15)	865	0	865
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	8,116	0	8,116
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		81,901	0	81,901

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					



LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	32.75	2,080	68,120	100	0	68,120
EI Consultant/Supervisor	23.08	2,080	48,006	100	0	48,006
Intake Service Coordinator	18.51	2,080	38,501	100	0	38,501
Intake Service Coordinator	18.51	2,080	38,501	100	0	38,501
Intake Service Coordinator	18.51	2,080	38,501	100	0	38,501
Data Management/Admin Clerk	19.34	2,080	40,227	100	0	40,227
			0		0	0
Total			271,856		0	271,856

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA	20,796	100	0	20,796
Health Insurance	27,252	100	0	27,252
Dental Insurance	1,944	100	0	1,944
Life Insurance	816	100	0	816
Long Term Disability/AD&D	1,020	100	0	1,020
Unemployment	3,924	100	0	3,924
Total	55,752		0	55,752

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 20.5079% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Program Director	1,935	100	0	1,935
EI Consultant/Supervisor	1,935	100	0	1,935
Intake Coordinator	1,934	100	0	1,934
Intake Coordinator	1,934	100	0	1,934
Intake Coordinator	1,934	100	0	1,934
Mileage Conferences & Mtgs.	624	100	0	624
			0	0
			0	0
Total	10,296		0	10,296

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore staff will travel to 3 parishes in Region 1. Staff will also travel to conferences and meetings.

(13) Operating Services	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Rent (\$2704x12)	32,448	100	0	32,448
Parking (\$973x12)	11,676	100	0	11,676
Telephone & Cell Phone Reimbursements (\$911x12)	10,932	100	0	10,932
Workers Comp (\$501x12)	6,012	100	0	6,012
Lease (copier & postage machine) (\$496x12)	5,952	100	0	5,952
Postage (\$541x12)	6,492	100	0	6,492
Equipment Maintenance (\$505x12)	6,060	100	0	6,060
Employee Training & Orientation (\$45x12)	540	100	0	540
Payroll Processing & Misc (\$299x12)	3,588	100	0	3,588
Total	83,700		0	83,700

Justification

Office space (including parking) and other operating expenses based upon current property costs in New Orleans, LA.

(14) Supplies	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Supplies (paper, pens, stationary, etc.) (\$1217x12	14,604	100	0	14,604
Miscellaneous (outside printing) (\$119x12)	1,428	100	0	1,428
			0	0
Total	16,032		0	16,032

Justification

Office supplies including paper, pens, folders, etc. essential for contract deliverables.

(15) Professional Services	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Audit/Legal Fees (\$432.60 x 12)	5,191	100	0	5,191
			0	0
			0	0
Total	5,191		0	5,191

Justification

Meet state audit requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Total				

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Admn costs	48,711	100	0	48,711
			0	0
Total	48,711		0	48,711

Justification

Indirect cost for administration of contract represents 11% of contract total.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Total					

Justification

### Object Detail

0	(Enter Cat 2 name)	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Total					

### Justification

\_\_\_\_\_



LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Easter Seals Louisiana Reg 1 FROM: 7/1/18 TO: 6/30/19

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	271,856	0	271,856
RELATED BENEFITS	(41)	55,752	0	55,752
TRAVEL	(12)	10,296	0	10,296
OPERATING SERVICES	(13)	83,700	0	83,700
SUPPLIES	(14)	16,032	0	16,032
PROFESSIONAL SVCS	(15)	5,191	0	5,191
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	48,711	0	48,711
(Enter Cat 1 name)	(0)			
(Enter Cat 2 name)	(0)			
TOTAL COST		491,538	0	491,538

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	32.75	1,734	56,789	100	0	56,789
EI Consultant/Supervisor	23.08	1,734	40,021	100	0	40,021
Intake Service Coordinator	18.51	1,734	32,096	100	0	32,096
Intake Service Coordinator	18.51	1,734	32,096	100	0	32,096
Intake Service Coordinator	18.51	1,734	32,096	100	0	32,096
Data Management/Admin Clerk	19.34	1,734	33,536	100	0	33,536
			0		0	0
Total			226,634		0	226,634

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA	17,330	100	0	17,330
Health Insurance	22,710	100	0	22,710
Dental Insurance	1,620	100	0	1,620
Life Insurance	680	100	0	680
Long Term Disability/AD&D	850	100	0	850
Unemployment	3,270	100	0	3,270
Total	46,460		0	46,460

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 20.5% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Program Director	1,676	100	0	1,676
EI Consultant/Supervisor	1,676	100	0	1,676
Intake Coordinator	1,676	100	0	1,676
Intake Coordinator	1,676	100	0	1,676
Intake Coordinator	1,676	100	0	1,676
Mileage Conferences & Mtgs.	540	100	0	540
			0	0
Total	8,920		0	8,920

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore staff will travel to 3 parishes in Region 1. Staff will also travel to conferences and meetings.

(13) Operating Services	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Rent (\$2704x10)	27,040	100	0	27,040
Parking (\$973x10)	9,730	100	0	9,730
Telephone & Cell Phone Reimbursements (\$911x10)	9,110	100	0	9,110
Workers Comp (\$501x10)	5,010	100	0	5,010
Lease (copier & postage machine) (\$496x10)	4,960	100	0	4,960
Postage (\$541x10)	5,410	100	0	5,410
Equipment Maintenance (\$505x10)	5,050	100	0	5,050
Employee Training & Orientation (\$45x10)	450	100	0	450
Payroll Processing & Misc (\$299x10)	2,990	100	0	2,990
Total	69,750		0	69,750

Justification

Office space (including parking) and other operating expenses based upon current property costs in New Orleans, LA.

(14) Supplies	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Supplies (paper, pens, stationary, etc.) (\$1217x10	12,170	100	0	12,170
Miscellaneous (outside printing) (\$119x10)	1,190	100	0	1,190
			0	0
Total	13,360		0	13,360

Justification

Office supplies including paper, pens, folders, etc. essential for contract deliverables.

(15) Professional Services	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Audit/Legal Fees (\$432.60 x 10)	4,326	100	0	4,326
			0	0
			0	0
Total	4,326		0	4,326

Justification

Meet state audit requirements.







LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Easter Seals Louisiana Reg 1 FROM: 7/1/19 TO: 4/30/20

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	226,634	0	226,634
RELATED BENEFITS	(41)	46,460	0	46,460
TRAVEL	(12)	8,920	0	8,920
OPERATING SERVICES	(13)	69,750	0	69,750
SUPPLIES	(14)	13,360	0	13,360
PROFESSIONAL SVCS	(15)	4,326	0	4,326
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	40,640	0	40,640
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		410,090	0	410,090

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

CONTRACT BETWEEN STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS  
Office for Citizens with Developmental Disabilities  
EarlySteps, Louisiana's Early Intervention System  
AND

CFMS: 735114  
DHH: 060724  
Agency # 340

Easter Seals Louisiana

FOR

☐ Personal Services ☐ Professional Services ☐ Consulting Services ☒ Social Services

1) Contractor (Legal Name if Corporation) Easter Seals Louisiana			5) Federal Employer Tax ID# or Social Security # 72069437600 (Must be 11 Digits)	
2) Street Address 1010 Common Street, Suite 2000			6) Parish(es) Served 36, 38, 44	
City New Orleans	State LA	Zip Code 70112	7) License or Certification # NA	
3) Telephone Number (504) 523-7325			8) Contractor Status	
4) Mailing Address (if different)			Subrecipient: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
			Corporation: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
			For Profit: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
			Publicly Traded: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
City	State	Zip Code	8a) CFDA#(Federal Grant #) 84.181A	

9) Brief Description Of Services To Be Provided:  
Contractor will provide System Point of Entry (SPOE) services with the Region 1 parishes for EarlySteps, Louisiana's Early Intervention System and its eligible infants & toddler from birth to three as regulated under Part C of the Individuals with Disabilities Education Improvement Act (IDEA). Contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and supporting the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family . The contractor will maintain electronic and hard copy paper files of the early intervention records. Contractor shall perform work in accordance with Attachment II: Statement of Work.

10) Effective Date 05-01-2015	11) Termination Date 04-30-2018
-------------------------------	---------------------------------

12) This contract may be terminated by either party upon giving thirty (30) days advance written notice to the other party with or without cause but in no case shall continue beyond the specified termination date.

13) Maximum Contract Amount \$ 1,411,259.00	14/15-74,932 15/16-454,041 16/17-472,196 17/18 - 410,090
---	--

14) Terms of Payment  
If progress and/or completion of services are provided to the satisfaction of the initiating Office/Facility, payments are to be made as follows:  
Fiscal will pay invoices within (20) days after receipt.

Travel will be reimbursed in accordance with PPM 49.

Authorization for payment will be made upon submission of deliverables summarized within monthly report and itemized invoices after approval from the Program Manager. Contractor will be paid on a cost reimbursement basis in accordance with attached budget.

Contractor obligated to submit final invoices to Agency within fifteen (15) days after termination of contract.

PAYMENT WILL BE MADE ONLY UPON APPROVAL OF:	First Name Brenda	Last Name Sharp
	Title Program Manager	Phone Number (225) 342-0095

15) Special or Additional Provisions which are incorporated herein, if any (IF NECESSARY, ATTACH SEPARATE SHEET AND REFERENCE):

- Attachment I: HIPAA Addendum  
Attachment II: Statement of Work  
Attachment III Budget  
Attachment IV: Monthly Invoice  
Attachment V: SPOE Monthly Report  
Attachment VI: Order of Precedence
- Exhibit I: Board Resolution  
Exhibit II: Multi Year Letter

**During the performance of this contract, the Contractor hereby agrees to the following terms and conditions:**

1. Contractor hereby agrees to adhere as applicable to the mandates dictated by Titles VI and VII of the Civil Rights Act of 1964, as amended; the Vietnam Era Veterans' Readjustment Assistance Act of 1974; Americans with Disabilities Act of 1990 as amended; the Rehabilitation Act of 1973 as amended; Sec. 202 of Executive Order 11246 as amended, and all applicable requirements imposed by or pursuant to the regulations of the U. S. Department of Health and Human Services. Contractor agrees not to discriminate in the rendering of services to and/or employment of individuals because of race, color, religion, sex, age, national origin, handicap, political beliefs, disabled veteran, veteran status, or any other non-merit factor.
2. Contractor shall abide by the laws and regulations concerning confidentiality which safeguard information and the patient/client confidentiality. Information obtained shall not be used in any manner except as necessary for the proper discharge of Contractor's obligations. (The Contractor shall establish, subject to review and approval of the Department, confidentiality rules and facility access procedures.)
3. The State Legislative Auditor, Office of the Governor, Division of Administration, and Department Auditors or those designated by the Department shall have the option of auditing all accounts pertaining to this contract during the contract and for a three year period following final payment. Contractor grants to the State of Louisiana, through the Office of the Legislative Auditor, Department of Health and Hospitals, and Inspector General's Office, Federal Government and/or other such officially designated body the right to inspect and review all books and records pertaining to services rendered under this contract, and further agrees to guidelines for fiscal administration as may be promulgated by the Department. Records will be made available during normal working hours.

Contractor shall comply with federal and state laws and/or DHH Policy requiring an audit of the Contractor's operation as a whole or of specific program activities. Audit reports shall be sent within thirty (30) days after the completion of the audit, but no later than six (6) months after the end of the audit period. If an audit is performed within the contract period, for any period, four (4) copies of the audit report shall be sent to the Department of Health and Hospitals, Attention: **Division of Fiscal Management, P.O. Box 91117, Baton Rouge, LA 70821-3797** and one (1) copy of the audit shall be sent to the **originating DHH Office**.

4. Contractor agrees to retain all books, records and other documents relevant to the contract and funds expended thereunder for at least four (4) years after final payment or as prescribed in 45 CFR 74.53 (b) whichever is longer. Contractor shall make available to the Department such records within thirty (30) days of the Department's written request and shall deliver such records to the Department's central office in Baton Rouge, Louisiana, all without expense to the Department. Contractor shall allow the Department to inspect, audit or copy records at the contractor's site, without expense to the Department.
5. Contractor shall not assign any interest in this contract and shall not transfer any interest in the same (whether by assignment or novation), without written consent of the Department thereto, provided, however, that claims for money due or to become due to Contractor from the Department under this contract may be assigned to a bank, trust company or other financial institution without advanced approval. Notice of any such assignment or transfer shall be promptly furnished to the Department and the Division of Administration, Office of Contractual Review.
6. Contractor hereby agrees that the responsibility for payment of taxes from the funds received under this contract shall be Contractor's. The contractor assumes responsibility for its personnel providing services hereunder and shall make all deductions for withholding taxes, and contributions for unemployment compensation funds.
7. Contractor shall obtain and maintain during the contract term all necessary insurance including automobile insurance, workers' compensation insurance, and general liability insurance. The required insurances shall protect the Contractor, the Department of Health and Hospitals, and the State of Louisiana from all claims related to Contractor's performance of this contract. Certificates of Insurance shall be filed with the Department for approval. Said policies shall not be canceled, permitted to expire, or be changed without thirty (30) days advance written notice to the Department. Commercial General Liability Insurance shall provide protection during the performance of work covered by the contract from claims or damages for personal injury, including accidental death, as well as claims for property damages, with combined single limits prescribed by the Department.
8. In cases where travel and related expenses are required to be identified separate from the fee for services, such costs shall be in accordance with State Travel Regulations. The contract contains a maximum compensation which shall be inclusive of all charges including fees and travel expenses.
9. No funds provided herein shall be used to urge any elector to vote for or against any candidate or proposition on an election ballot nor shall such funds be used to lobby for or against any proposition or matter having the effect of law being considered by the legislature or any local governing authority. This provision shall not prevent the normal dissemination of factual information relative to a proposition or any election ballot or a proposition or matter having the effect of law being considered by the legislature or any local governing authority. Contracts with individuals shall be exempt from this provision.
10. Should contractor become an employee of the classified or unclassified service of the State of Louisiana during the effective period of the contract, Contractor must notify his/her appointing authority of any existing contract with State of Louisiana and notify the contracting office of any additional state employment. This is applicable only to contracts with individuals.

11. All non-third party software and source code, records, reports, documents and other material delivered or transmitted to Contractor by State shall remain the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract. All non-third party software and source code, records, reports, documents, or other material related to this contract and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract.

12. Contractor shall not enter into any subcontract for work or services contemplated under this contract without obtaining prior written approval of the Department. Any subcontracts approved by the Department shall be subject to conditions and provisions as the Department may deem necessary; provided, however, that notwithstanding the foregoing, unless otherwise provided in this contract, such prior written approval shall not be required for the purchase by the contractor of supplies and services which are incidental but necessary for the performance of the work required under this contract. No subcontract shall relieve the Contractor of the responsibility for the performance of contractual obligations described herein.

13. No person and no entity providing services pursuant to this contract on behalf of contractor or any subcontractor is prohibited from providing such services by the provisions of R.S. 42:1113 as amended in the 2008 Regular Session of the Louisiana Legislature.

14. No claim for services furnished or requested for reimbursement by Contractor, not provided for in this contract, shall be allowed by the Department. In the event the Department determines that certain costs which have been reimbursed to Contractor pursuant to this or previous contracts are not allowable, the Department shall have the right to set off and withhold said amounts from any amount due the Contractor under this contract for costs that are allowable.

15. This contract is subject to and conditioned upon the availability and appropriation of Federal and/or State funds; and no liability or obligation for payment will develop between the parties until the contract has been approved by required authorities of the Department; and, if contract exceeds \$20,000, the Director of the Office of Contractual Review, Division of Administration in accordance with La. R.S. 39:1502..

16. The continuation of this contract is contingent upon the appropriation of funds from the legislature to fulfill the requirements of the contract. If the Legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds are not appropriated.

17. Any alteration, variation, modification, or waiver of provisions of this contract shall be valid only when reduced to writing, as an amendment duly signed, and approved by required authorities of the Department; and, if contract exceeds \$20,000, approved by the Director of the Office of Contractual Review, Division of Administration. Budget revisions approved by both parties in cost reimbursement contracts do not require an amendment if the revision only involves the realignment of monies between originally approved cost categories.

18. Any contract disputes will be interpreted under applicable Louisiana laws and regulations in Louisiana administrative tribunals or district courts as appropriate.

19. Contractor will warrant all materials, products and/or services produced hereunder will not infringe upon or violate any patent, copyright, trade secret, or other proprietary right of any third party. In the event of any such claim by any third party against DHH, the Department shall promptly notify Contractor in writing and Contractor shall defend such claim in DHH's name, but at Contractor's expense and shall indemnify and hold harmless DHH against any loss, expense or liability arising out of such claim, whether or not such claim is successful. This provision is not applicable to contracts with physicians, psychiatrists, psychologists or other allied health providers solely for medical services.

20. Any equipment purchased under this contract remains the property of the Contractor for the period of this contract and future continuing contracts for the provision of the same services. Contractor must submit vendor invoice with reimbursement request. For the purpose of this contract, equipment is defined as any tangible, durable property having a useful life of at least (1) year and acquisition cost of \$1000.00 or more. The contractor has the responsibility to submit to the Contract Monitor an inventory list of DHH equipment items when acquired under the contract and any additions to the listing as they occur. Contractor will submit an updated, complete inventory list on a quarterly basis to the Contract Monitor. Contractor agrees that upon termination of contracted services, the equipment purchased under this contract reverts to the Department. Contractor agrees to deliver any such equipment to the Department within 30 days of termination of services.

21. Contractor agrees to protect, indemnify and hold harmless the State of Louisiana, DHH, from all claims for damages, costs, expenses and attorney fees arising in contract or tort from this contract or from any acts or omissions of Contractor's agents, employees, officers or clients, including premises liability and including any claim based on any theory of strict liability. This provision does not apply to actions or omissions for which LA R.S. 40:1299.39 provides malpractice coverage to the contractor, nor claims related to treatment and performance of evaluations of persons when such persons cause harm to third parties (R.S. 13:5108.1(E)). Further it does not apply to premises liability when the services are being performed on premises owned and operated by DHH.



22. Any provision of this contract is severable if that provision is in violation of the laws of the State of Louisiana or the United States, or becomes inoperative due to changes in State and Federal law, or applicable State or Federal regulations.

23. Contractor agrees that the current contract supersedes all previous contracts, negotiations, and all other communications between the parties with respect to the subject matter of the current contract.

**THIS CONTRACT CONTAINS OR HAS ATTACHED HERETO ALL THE TERMS AND CONDITIONS AGREED UPON BY THE CONTRACTING PARTIES. IN WITNESS THEREOF, THIS CONTRACT IS SIGNED ON THE DATE INDICATED BELOW.**

<div>Easter Seals Louisiana</div> <div><div><div><div><div></div><div>SIGNATURE</div></div><div><div>3/12/15</div><div>DATE</div></div></div></div><div>Tracy Garner</div><div>NAME</div><div>President/CEO</div><div>TITLE</div></div>	<div>STATE OF LOUISIANA DEPARTMENT OF HEALTH AND HOSPITALS</div> <div><div><div><div><div></div><div>SIGNATURE</div></div><div><div></div><div>DATE</div></div></div></div><div>Kathy Kilebert</div><div>NAME</div><div>Secretary, Department of Health and Hospital or Designee</div><div>TITLE</div></div>
<div>EarlySteps, Louisiana's Early Intervention System</div> <div><div><div><div><div></div><div>SIGNATURE</div></div><div><div></div><div>DATE</div></div></div></div><div>Brenda Sharp</div><div>NAME</div><div>Program Manager</div><div>TITLE</div></div>	<div>Office for Citizens with Developmental Disabilities</div> <div><div><div><div><div></div><div>SIGNATURE</div></div><div><div></div><div>DATE</div></div></div></div><div>Mark A. Thomas</div><div>NAME</div><div>Assistant Secretary</div><div>TITLE</div></div>

## HIPAA Business Associate Addendum

This HIPAA Business Associate Addendum is hereby made a part of this contract in its entirety as Attachment \_\_\_\_\_ to the contract.

1. The Louisiana Department of Health and Hospitals ("DHH") is a Covered Entity, as that term is defined herein, because it functions as a health plan and as a health care provider that transmits health information in electronic form.
2. Contractor is a Business Associate of DHH, as that term is defined herein, because contractor either: (a) creates, receives, maintains, or transmits PHI for or on behalf of DHH; or (b) provides legal, actuarial, accounting, consulting, data aggregation, management, administrative, accreditation, or financial services for DHH involving the disclosure of PHI.
3. Definitions: As used in this addendum –
  - A. The term "HIPAA Rules" refers to the federal regulations known as the HIPAA Privacy, Security, Enforcement and Breach Notification Rules found at 45 C.F.R. Parts 160 and 164 which were originally



### Office of State Procurement PROACT Contract Certification of Approval

**This certificate serves as confirmation that the Office of State Procurement has reviewed and approved the contract referenced below.**

**Reference Number:** 735114

**Vendor:** Easter Seals Louisiana

**Description:** 735114 - Contractor will provide System Point of Entry (SPOE) Reg. 1

**Approved By:** Pamela Rice

**Approval Date:** 7/01/2015

The above referenced number has been assigned by this office and will be used as identification for the approved contract. Please use this number when referring to the contract in any future correspondence or amendment(s).

The Internal Revenue Service (IRS) may find that this contract creates an employment relationship between your agency and the contractor. You should be advised that your agency is responsible for all taxes and penalties if such a finding is forthcoming. It is incumbent upon your agency to determine if an employee/employer relationship exists. Your agency must make the appropriate withholdings in accordance with law and IRS regulations, if applicable.

## ATTACHMENT II

### Statement of Work

#### **GOAL/PURPOSE**

The contractor will provide System Point of Entry services to infants and toddlers (birth to three years old) who have developmental delays or diagnosed medical conditions likely to result in developmental delays in accordance with the Individuals with Disabilities Education Improvement Act (IDEA). The contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family in EarlySteps, Louisiana's IDEA Part C system.

#### **Deliverable 1**

The contractor shall provide qualified and trained Intake Support Coordinators to provide the required services outlined below and to function as the EarlySteps initial point of contact for the designated region.

**Deliverable 1.1:** Contractor will receive referrals from a parent, family member, physician, teacher, service providers, agencies, etc. Contractor will respond to each referral within specified timelines, and the following services will be offered: intake coordination via face-to-face interview and/or telephone contact, screening of the child, review of referral information and concerns, access of other health or evaluation information. The contractor must conduct the face-to-face interview with the family in their natural environment unless otherwise arranged with the family and with documentation that supports the family's decision.

**Deliverable 1.2:** Contractor will ensure that completion of the initial face-to-face interview with the family will include providing the following information: introduction of the family to the EarlySteps system and providing to the family, in the family's primary language or other mode of communication (including in writing), their procedural safeguards and their right to due process under IDEA-Part C in 34 CFR 303.400-438 related to intake and eligibility procedures.

**Deliverable 1.3:** Contractor will receive informed written consent from the parent/legal guardian to participate in the EarlySteps system in order to proceed with the intake process, eligibility process, accessing of information requests and initial IFSP development.

**Deliverable 1.4:** Contractor will request and document receipt of information from appropriate health, medical, educational, and other community services providers with parental consent.

**Outcome 1.5:** Contractor will complete the family interview and developmental screening of each referred child using the Ages and Stages Questionnaire or other tool approved by EarlySteps for children referred for developmental delay.

**Deliverable 1.6:** Contractor will ensure receipt of all relevant information from the family to complete intake process including: Medicaid eligibility verification, insurance and income verification and eligibility for and referral to other community programs/services.

- The SPOE shall verify Medicaid eligibility according to the requirements specified in Chapter 4 of the Practice Manual located at <http://www.earlysteps.dhh.louisiana.gov>.

**Deliverable 1.7:** Contractor will conduct a determination of need coordinated with the EarlySteps central and regional office staff, to access the surrogate parent system. The contractor's role shall include: Submitting any such names and addresses to OCDD for appropriate surrogate parent action, using the state-developed form; assisting OCDD in recruiting surrogate parent volunteers; assisting OCDD with local surrogate parent training if necessary; reviewing the child's situation in regards to whether a parent or guardian is present; and determining if a referred child would benefit from a surrogate parent. Within ten (10) business days of the child's initial referral to the contractor, the contractor must complete and return to OCDD the designated form for each child believed to be eligible to receive a surrogate appointment based on the criteria set forth under 34 CFR 303.406. OCDD shall appoint a surrogate parent and inform the contractor of the appointment.

**Deliverable 1.8:** Contractor will send an acknowledgement of receipt of referral form to referral sources using a standard acknowledgement letter provided by EarlySteps.

**Deliverable 1.9:** Contractor will send certified letters to families when contact attempts fail.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of referrals processed within 3 business days.
- Documentation of percentage of face-to-face interviews with families within 10 business days.
- Documentation of percentage of referral acknowledgements sent within 5 business days.

## ATTACHMENT II

### Statement of Work

- Documentation of percentage of certified letters sent to families after 3 documented contact attempts.
- Reports reflect accuracy of chart data within acceptable parameters as determined in monitoring activities.
- Documentation that parent CQI survey results shall be conducted by the contractor and consistent with targets set for the Louisiana Annual Performance Report (APR) for Indicator 4 for appropriate SPOE region. The APR is posted on the EarlySteps website.

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports
- Review results of parent survey data
- Review chart for required activity documentation

#### **Deliverable 2: Conduct Eligibility Determination Process**

The contractor shall coordinate eligibility determination for each child who enters the process following screening, arrange for the eligibility evaluator, early intervention consultant, family, and other multidisciplinary team members as appropriate, and facilitate the eligibility and/or IFSP team meetings. (Approximately 5,100 eligibility evaluations were coordinated by the SPOEs in 2012-13).

Deliverable 2.1: Contractor will collect relevant assessments and evaluations shall be collected from other sources including the referral source.

Deliverable 2.2: Contractor will assemble appropriate multidisciplinary team to review the referral information and previous assessment/medical information and to participate in the eligibility determination process in accordance with IDEA Part C regulations and EarlySteps policies. This team shall be an in-house multidisciplinary team with experience with evaluating infants and toddlers with disabilities, including the early intervention consultant, and/or shall be selected from the EarlySteps-enrolled early intervention evaluation providers. Payment for the EarlySteps-enrolled evaluators will be billed by them separately according to current EarlySteps process, not through the SPOE contractor.

Deliverable 2.3: Contractor will complete the determination of eligibility as required under IDEA Part C IDEA and state and federal regulations, the EarlySteps Practice Manual and the training modules: Making Informed Decisions, Battelle Developmental-2 Inventory and the Autism Screening module. Autism screening shall be conducted with children 18 months of age and annually thereafter.

Deliverable 2.4: Contractor will conduct referrals to community supports and resources and other services, including referral for EPSDT case management for children not eligible for EarlySteps.

#### **Performance Measures**

Contractor shall provide or maintain:

- The contractor shall meet the timelines specified in the RFP. EIDS captures the data based on SPOE performance. Reports shall be generated based on these activities. In addition the SPOE shall submit a monthly performance report which is included as Attachment XI. Accurate completion of data entry results shall be in successfully issued authorizations.
- Documentation of percentage of children processed from referral to initial IFSP within 45 calendar days, consistent with targets for APR and regional targets as specified in Attachment VIII
- Documentation of parent CQI survey results shall be consistent with targets set in Louisiana APR Indicator 4
- Documentation of identification of children shall be referred to EPSDT by the Bureau of Health Services Financing contractor
- Documentation of the number of eligibility evaluations completed by the multidisciplinary eligibility team

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports and self-assessments
- Review of the results of parent survey data.
- Review of chart for required documentation

## ATTACHMENT II

### Statement of Work

#### **Deliverable 3: Assess family concerns, priorities, and resources and develop initial Individualized Family Service Plan (IFSP)**

The contractor will coordinate the results of the evaluation and assessment process including the family-directed assessment, information collected during the intake process, results of the evaluation and assessment data, using a team-based model, which supports decision-making necessary to develop the IFSP as specified below:

**Deliverable 3.1:** Contractor will ensure that family concerns, priorities and resources are accurately reflected in the IFSP following an assessment conducted as part of the eligibility determination process for families of eligible children.

**Deliverable 3.2:** Contractor will ensure that the family chooses a Family Service Coordinator and Providers from the Service Matrix.

**Deliverable 3.3:** Contractor will ensure that an IFSP team is assembled that consist of the following members:

- Parent(s) of the child
- Other family members, requested by the parent(s)
- An advocate or other person(s) requested by the family,
- The Family Service Coordinator selected by the family at the time of the initial referral, as defined under 34 CFR 303.34 that has been designated responsible for the implementation of the IFSP.
- Person(s) involved in conducting the evaluations and assessments, in-person or through other means, such as participation by telephone conference call or through pertinent records that are available at the meeting. A knowledgeable authorized representative may also attend the meeting as a substitute for the person unable to attend [34 CFR 303.343 (a) (v)], and
- Service providers [34 CFR 303.343 (a) (vi)] as appropriate.

**Deliverable 3.4:** Contractor will complete the initial IFSP within 45 calendar days of referral that identify child and family priorities according to IFSP requirements.

**Deliverable 3.5:** Contractor will complete referrals and transition activities for children referred to the OCDD and the local education agency (LEA) prior to the child's 3rd birthday according to EarlySteps and OCDD policy. Referrals to other resource agencies, such as Families Helping Families, Child Care Resource and Referral Agencies, Head Start and Early Head Start, etc., identified during intake process shall be made.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of completion of activities associated with referral, eligibility determination, and initial IFSP within 45calendar days.
- Documentation that IFSPs are complete and accurately identify child and family outcomes from assessment process
- Documentation of average costs of services within service guidelines  
EarlySteps utilizes Service Guidelines called IFSP Team services process found in Chapter 6 of the Practice Manual which outlines a process based upon 24 hours of services in 6 months. These are the service guidelines referred to in the RFP from which average per child costs can be determined. Average per child costs are typically \$2100 per child for service costs only. Variations from this guideline are allowable according to the defined process. SPOEs shall follow the guidelines in the development of the initial IFSP so that cost effectiveness is demonstrated.
- Documentation of percentage of IFSPs completed which meet targets for Louisiana APR indicators 1, 2, 7, and 8

#### **Monitoring Plan**

The contract monitor will:

- Review of chart for hard copy of IFSP, transition meeting and documentation of referrals sent to OCDD and the LEA
- Review of EIDS data is within established parameters for region according to quarterly EIDS reports
- Review of Corrective Action Plans developed and timely correction of any targets not met
- Review of monthly report submitted to regional and central office staff. Attachment XI of the RFP outlines the data that EarlySteps requires for monthly reporting by the SPOE.
- Review evidence of team process in IFSP development according to signatures of participating members.



## ATTACHMENT II

### Statement of Work

**Deliverable 4: Provide administrative functions related to collecting family financial information, issuing service authorizations and data entry for the Central Finance Office (CFO).**

The contractor will perform activities which support timely service delivery for enrolled infants and toddlers and accurate, timely data reporting as specified below:

**Deliverable 4.1:** Contractor will submit Service authorizations to the CFO within 2 business days of the initial IFSP meeting.

**Deliverable 4.2:** Contractor will ensure that subsequent service authorizations are received from and processed for the FSC and service providers within 3 days following an IFSP review /revision.

**Deliverable 4.3:** Contractor will ensure that each child's Master record is maintained as specified below.

**Deliverable 4.4:** Contractor will ensure that data uploads to CFO are conducted according to the established schedule.

**Deliverable 4.5:** Contractor will ensure that Family income information is collected during the intake process for entry into EIDS and issuance of the Family Cost Participation Notice Statement. Ongoing financial data entry will occur annually as well.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of IFSPs completed which shall meet targets for Louisiana APR Indicators 1, 2, 7, and 8
- Documentation of IFSP services fully authorized for initial service provision shall occur within 30 days of parent consent. Service providers shall be able to provide timely services following access to service authorizations
- Documentation of Family Cost Share shall be accurately calculated requiring a minimum of system adjustments following entry

#### **Monitoring Plan**

The contract monitor will:

- Review chart for master copy of IFSP and other documentation for child master record
- Review provider billing processed by CFO and Medicaid
- Review EIDS data within state-established parameters

**Deliverable 5: Establish and Maintain Record Keeping System according to Federal and State Requirements**

The contractor shall establish and maintain records for each child as well as in support of business operations as specified below:

**Deliverable 5.1:** Contractor will maintain all early intervention records shall be maintained in accordance with the applicable regulations under IDEA, Family Education Rights and Privacy Act (FERPA) and Education Department General Accounting Rules (EDGAR), including hard copy paper file and electronic file record, as described below, regardless of the outcome of the intake process (i.e. eligible or not, accept or decline services, etc.).

**Deliverable 5.2:** Contractor will use the Early Intervention data system software (EIDS) operated by the CFO contractor for accurate data entry as the link between the contractor's records and the EIDS. EIDS is provided at no cost to the contractor.

**Deliverable 5.3:** Contractor will obtain all notices of actions and consents; family support coordination documentation including meeting notifications, IFSP reviews/evaluations, new IFSPs, correspondence, family income information, and releases in the hard copy file record in the format required shall be maintained.

**Deliverable 5.4:** Contractor will utilize required EarlySteps forms for record keeping according to the instructions provided in the EarlySteps Practice Manual.

**Deliverable 5.5:** Contractor will ensure data entry in EIDS is accurate such that OCDD is able to:

- Identify gaps in the local service delivery system and the need for resource development, personnel recruitment, etc.;

## ATTACHMENT II

### Statement of Work

- Conduct financial forecasting, fund acquisition, and other reporting functions accurately
- Verify required system components (e.g. IFSP, releases, consents, etc.) are completed according to state and federal regulations.
- Submit eligibility verification and prior authorization data to Molina the fiscal intermediary for the Bureau of Health Services Financing.

**Deliverable 5.6:** Contractor will ensure all child and family information, medical records, and data elements collected, maintained or used in the administration of the contract from unauthorized disclosure as set forth under 34 CFR 303.406 shall be protected according to:

- Safeguards that restrict the use or disclosure of information concerning children and families to purposes directly connected with the administration of the contract.
- Records, reports, documentation, data, and material developed or acquired by the contractor, as a direct requirement specified in the contract shall become the property of the State of Louisiana.
- Information gained by the contractor as a result of the activities conducted under the contract shall be confidential, and no reports, documentation, or material prepared as required by or obtained through the contract shall be released to the public without the prior written consent of OCDD and must include the identification of EarlySteps, OCDD and the State of Louisiana.
- Signatures obtained from all employees or subcontractors of the contractor agreeing to the confidentiality provisions of the contract as required by the OCDD.

**Deliverable 5.7:** Contractor will maintain financial, time, and accounting records and evidence pertaining to the contract in accordance with generally accepted accounting principles and other procedures as specified by DHH/OCDD. These records must be made available to DHH/OCDD, and/or its designees, and the legislative auditor during the contract period, any renewal period, and for the period of time specified below for retention of records.

**Deliverable 5.8:** Contractor will securely store books, records, evidence, and other documents relevant to the contract for a period of four (4) years after final payment and the completion of an audit (if an audit is performed). Any records or documents involved in, related to, or required for any litigation, claim, negotiation, audit, or other such action must be retained until the resolution of the action, or until four years have passed after final payment and completion of any required audit, whichever is later. The contractor shall allow authorized representatives of the State of Louisiana agencies and the federal government to inspect these records upon request.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of records is complete, accurate and meets Federal and State Requirements.
- Evidence that hard copy documentation shall be consistent with EIDS data.
- Documentation of records are maintained according to the required timelines

#### **Monitoring Plan**

The contract monitor will:

- Review charts
- Conduct agency Audits
- Review Data Report

#### **Deliverable 6: Hire and Train staff to meet functions of SPOE office (see Attachment VI for Job Descriptions)**

The Contractor will conduct activities which meet personnel requirements and needs of the region as specified below. Key personnel commitments made in the contract shall only be changed with prior written approval of DHH/OCDD. The contractor shall be responsible for the training and education of new personnel at the contractor's expense. DHH/OCDD shall not be liable for any cost related to the training or education of new or substitute staff.

**Deliverable 6.1:** Contractor will hire personnel who will demonstrate effective service provision as required in the contract and meet qualifications specified.

**Deliverable 6.2:** Contractor will hire appropriate number of staff necessary to provide all required services.

**Deliverable 6.3:** Contractor will hire staff members that meet specified qualifications.

**Deliverable 6.4:** Contractor will provide additional necessary support (such as data support) to assist the Intake Service Coordinators in providing the services required herein.

## ATTACHMENT II

### Statement of Work

**Deliverable 6.5:** Contractor and/or sub-contractor will, if requested by DHH, provide all necessary authorizations for the background checks for all personnel. The contractor must arrange for background checks for required staff according to requirements of the Department of Children and Family Services. This requirement states that an employee or subcontractor of the contractor must pass a background check prior to employment and or initiation of a contract and every three years thereafter or according to the requirements of RS 49:950 et seq. (The State reserves the right to conduct a background check on any contractor or sub-contractor personnel).

#### **Performance Measures**

Contractor shall provide or maintain:

- Supporting documentation that all staff meets specified qualifications.
- Documentation of adequate staffing of program results in timeline requirements being met according to APR Indicators 1, 7, and 8.

#### **Monitoring Plan**

The contract monitor will:

- Review Charts -Personnel files
- Review EIDS reports
- Review Staff Training Records
- Review documentation of Verification of Background Checks

**Deliverable 7: Ensure that all licensing and training requirements are met according to the *Case Management Services Provider Manual*, reissued 7/01/2002.**

The contractor will arrange and/or provide case management training and EarlySteps training as specified below:

**Deliverable 7.1:** Contract will ensure that each Intake Service Coordinator and Intake Service Coordinator/Early Intervention Consultant-Supervisor complete required licensing and EarlySteps training as specified below and participate in any required meetings. In addition, the intake service coordinators must adhere to the requirements of the EarlySteps Practice Manual.

EarlySteps Training Requirements shall include the following:

- Module 1: Orientation—EarlySteps: A New Look
- Module 2: Evaluation and Assessment—Making Informed Decisions on-line module and with a face-to-face component (when available) through EarlySteps
- Module 3: Spectrum of Child Development
- Module 4: Family-Centered Practices
- Module 5: Introduction to Teaming Practices
- Module 6: Introduction to the Individualized Family Services Plan on-line and Individualized Family Service Plan Process-a face-to-face component, when available.
- Module 7: Concerns, Priorities and Resource Process, a face-to-face training activity, when available
- Module 8: Talking to Families about their Rights, an online module
- Face-to-Face Orientation to EarlySteps by Regional Coordinator
- Technical Assistance provided at a minimum of 1 hour per month with the Regional Coordinator in region served; meetings may increase based on the SPOE needs. All SPOE staff will be required to attend scheduled meetings.
- SPOE software training
- Additional training as required by DHH/OCDD

**Additional Case Management Licensing Training Requirements:**

Orientation- at least sixteen (16) hours must be provided to all staff, volunteers, and students within five (5) working days of employment. A minimum of eight (8) hours of the orientation training must cover orientation to early intervention including, but not limited to, specific service needs and resources. This orientation must include, at a minimum:

- Case Management Provider policies and procedures.
- Medicaid and other applicable DHH policies and procedures.
- Confidentiality.
- Documentation in case records.
- Parents' Rights under IDEA Part C.
- Recipient rights protection and reporting of violations.
- Recipient abuse and neglect reporting policies and procedures.
- Recognizing and defining abuse and neglect.
- Emergency and safety procedures.

## ATTACHMENT II

### Statement of Work

- Data management and record keeping.
- Infection control and universal precautions.
- Working with the early intervention population.
- Professional ethics.
- Outcome measures.

Deliverable 7.2: Contractor will ensure that in addition to the required sixteen (16) hours of orientation, all new employees without documented training must receive an additional minimum sixteen (16) hours of training during the first ninety (90) calendar days of employment. This training must be related to the population of infants and toddlers with disabilities to be served, must include specific knowledge, skills, and techniques, and must include the training modules listed above.

Deliverable 7.3: Contractor will ensure that an individual with demonstrated knowledge of both the training topics and the target population provide this training. This training must include the following at a minimum:

- Assessment techniques.
- Support and service planning.
- Support and service planning for children with complex medical needs
- Resource identification.
- Interviewing and interpersonal skills.
- Data management and record keeping.
- Communication skills
- Cultural awareness.
- Personal outcome measures.

Deliverable 7.4: Contract will ensure that new employees do not assume service coordinator responsibility until the orientation is satisfactorily completed. This additional training may be counted as part of the required 40 annual hours. The following is a list of suggested additional topics for training:

- Nature of illness or disability, including symptoms and behavior.
- Pharmacology.
- Potential array of services for the population.
- Building natural support system.
- Family dynamics.
- Developmental life stages.
- First aid/CPR.
- Signs and symptoms of mental illness, alcohol, and drug addiction, mental retardation/developmental disabilities and head injuries.
- Monitoring techniques.
- Advocacy.
- Behavior management techniques.
- Values clarification/goals and objectives.
- Available community resources.
- Cultural diversity.
- Health management.
- Team building/interagency collaboration.
- Transition/closure.
- Facilitating team meetings.
- Stress and time management.
- Legal issues.
- Outcome measures.

Deliverable 7.5: Contractor will ensure that individuals who supervise Intake Service Coordinators complete a minimum of 40 hours of training a year. Suggested topics for supervisory training include:

- Professional ethics
- Process for interviewing, screening, and hiring staff
- Orientation/in service training of staff
- Evaluating staff
  - Approaches to supervision
  - Managing caseload size
  - Conflict resolution
  - Documentation
  - Time management

## ATTACHMENT II

### Statement of Work

The contractor shall print EarlySteps Practice Manual and any updates and shall make them available to all of the contractor's staff. Verification of training on the program practice manual shall be documented by the contractor. The manual is available on the website at <http://www.earlysteps.dhh.louisiana.gov/>.

#### Performance Measures

Contractor shall provide or maintain:

- Documentation of personnel records that include - Time, date, trainer, trainer's qualifications and agenda signed by supervisor, documentation of training provided by outside entities or organizations to include certificate of attendance signed by trainer or training organizations.

#### Monitoring Plan

The contract monitor will:

- Review Personnel File
- Review attendance records
- Review Training and Supervision Logs

#### Deliverable 8: Ensure quality of data reporting and quality assurance

The contractor will develop and implement quality management strategies which assure quality of contractor and EarlySteps system implementation and accuracy of data entry and reporting as follows:

Deliverable 8.1: Contractor will develop written procedures for performance of the services, as required herein, within 90 calendar days of the initiation of the contract which reflect provisions of the EarlySteps system in a prompt, professional, family-centered, equitable, consistent, and culturally competent manner that ensures:

- Each referred child shall be guaranteed equal and timely access to the services available through the EarlySteps system or referred to other appropriate services, regardless of the nature of the child's disability or the degree of disability, family educational/socioeconomic status, primary language or geographic location.
- Families shall receive accurate and timely information, knowledge of choices or options available, and shall be given an explanation of their rights, opportunities and responsibilities under both Part C federal law and state law.
- Collaborative relationships with referring agencies, providers and other community agencies are developed which support the EarlySteps team-based service delivery model.
- Access for children and their families to systems and services that will assist in meeting their needs including those related to the child's developmental concerns as well as enhancing the family's capacity in meeting the needs of their child.
- Confidentiality of data, including medical records, payment information, child and family information, and early intervention service records shall be maintained
- Data shall be entered accurately and in a timely manner
- A written plan for conducting a self-evaluation and report findings to OCDD shall be developed and implemented by the Contractor throughout the Contractor's organization.
- A written approved Quality Enhancement Plan that engages in learning or collecting performance information to determine how well they are meeting the Contractor's goals; responding or acting in ways to improve performance, implementing or activating a plan that has well defined goals and objectives, and evaluating and monitoring the implementation of the quality project

Deliverable 8.2: Contractor will ensure that data management results in accurate data reporting which meets state and federal requirements such that:

- Procedures which ensure confidentiality of all contents including medical records, payment information, child and family information, and early intervention service records shall be implemented.
- Reporting requirement established by OCDD including monthly reports, corrective action plans, self-assessments and Individual Family Service Plans (IFSPs) shall be met.
- Procedures shall ensure timely, accurate input of data into EIDS.

#### Performance Measures

Contractor shall provide or maintain:

Documentation of policy manual development within 90 days of contract initiation which shall include, but shall not be limited to, the following:

- Anti-discrimination
- Evaluations
- Promotion



## ATTACHMENT II

### Statement of Work

- Disciplinary actions
- Termination
- Employee grievances
- Continuous quality management
- Training requirements

A written Quality Enhancement Plan must be developed within 90 days of contract initiation and approved by OCDD which shall include:

- Contractor's vision and mission
- Establishing a Quality Council
- Establishing an Organizational Infrastructure to Support Quality QM Policy and procedures
- Evaluating Fidelity of Implementation of the Contractor's plan and updates
- Quality management committee which includes stakeholders
- Data collection and analysis
- Procedures for conducting self-evaluation and other quality enhancements and procedures to report findings to OCDD according to established guidelines
- Training
- Procedures for determination of consumer satisfaction and means to address concerns identified

#### **Monitoring Plan**

The contract monitor will:

- Review policy manuals and quality assurance guidelines
- Review data reporting to ensure it meets schedules and results within expected parameters

# DHH Contract Budget Detail

Attachment 111

FY 14/15

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	30.35	346	10,501	100	0	10,501
EI Consultant/Supervisor	21.39	346	7,401	100	0	7,401
Intake Service Coordinator	17.15	346	5,934	100	0	5,934
Intake Service Coordinator	17.15	346	5,934	100	0	5,934
Intake Service Coordinator	17.15	346	5,934	100	0	5,934
Data Management/Admin. Clerk	17.92	346	6,200	100	0	6,200
			0	100	0	0
			0		0	0
			0		0	0
Total			41,904		0	41,904

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA	3,206	100	0	3,206
Health Insurance	4,200	100	0	4,200
Dental Insurance	300	100	0	300
Life Insurance	126	100	0	126
Long-Term Disability/AD&D	158	100	0	158
Unemployment	606	100	0	606
			0	0
			0	0
			0	0
Total	8,596		0	8,596

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 20.513% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Program Director	310	100	0	310
EI Consultant/Supervisor	310	100	0	310
Intake Coordinator	310	100	0	310
Intake Coordinator	310	100	0	310
Intake Coordinator	310	100	0	310
Mileage Conferences & Meetings.	100	100	0	100
			0	0
			0	0
			0	0
Total	1,650		0	1,650

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore staff will travel to 3 parishes in Region 1. Staff will also travel to conferences and meetings.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$2500 per mo. x 2)	5,000	100	0	5,000
Parking (\$900 per mo. x 2)	1,800	100	0	1,800
Telephone & Cell Phone Reimbursements - \$842 x 2	1,684	100	0	1,684
Workers Comp (\$463 x 2)	926	100	0	926
Lease (copier & postage machine) (\$458 per mo. x2)	916	100	0	916
Postage (\$500 per mo. x 2)	1,000	100	0	1,000
Equipment Maintenance (\$467 per mo. x 2)	934	100	0	934
Employee Training & Orientation (\$42 x 2)	84	100	0	84
Payroll Processing & Misc. (\$276 per mo. x 2)	552	100	0	552
<b>Total</b>	<b>12,896</b>		<b>0</b>	<b>12,896</b>

Justification

Office space (including parking) and other operating expenses. Based upon current property costs in New Orleans, Louisiana.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Supplies (paper,pens,stationary, etc.) (\$1125 x 2)	2,250	100	0	2,250
Miscellaneous (outside printing) (\$110 x 2)	220	100	0	220
		0	0	0
			0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>2,470</b>		<b>0</b>	<b>2,470</b>

Justification

Office supplies including paper, pens, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
		100	0	0
		100	0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>0</b>		<b>0</b>	<b>0</b>

Justification

Meet state audit requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		100	0	0
		100	0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Administrative Costs	7,416	100	0	7,416
			0	0
			0	0
			0	0
			0	0
Total	7,416		0	7,416

Justification

Indirect cost for administration of contract represents 11% of contract total.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification





DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Easter Seals Louisiana FROM: 5/01/2015 TO: 06/30/2015

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	41,904	0	41,904
RELATED BENEFITS	(41)	8,596	0	8,596
TRAVEL	(12)	1,650	0	1,650
OPERATING SERVICES	(13)	12,896	0	12,896
SUPPLIES	(14)	2,470	0	2,470
PROFESSIONAL SVCS	(15)	0	0	0
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	7,416	0	7,416
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		74,932	0	74,932

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds  
If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment III  
FY 15/16

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	30.29	2,080	63,003	100	0	63,003
EI Consultant/Supervisor	21.35	2,080	44,408	100	0	44,408
Intake Service Coordinator	17.11	2,080	35,589	100	0	35,589
Intake Service Coordinator	17.11	2,080	35,589	100	0	35,589
Intake Service Coordinator	17.11	2,080	35,589	100	0	35,589
Data Management/Admin. Clerk	17.89	2,080	37,211	100	0	37,211
			0	100	0	0
			0		0	0
			0		0	0
Total			251,389		0	251,389

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA	19,232	100	0	19,232
Health Insurance	25,200	100	0	25,200
Dental Insurance	1,800	100	0	1,800
Life Insurance	750	100	0	750
Long-Term Disability/AD&D	947	100	0	947
Unemployment	3,640	100	0	3,640
			0	0
			0	0
			0	0
Total	51,569		0	51,569

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 20.5135% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Program Director	1,860	100	0	1,860
EI Consultant/Supervisor	1,860	100	0	1,860
Intake Coordinator	1,860	100	0	1,860
Intake Coordinator	1,860	100	0	1,860
Intake Coordinator	1,860	100	0	1,860
Mileage Conferences & Mtgs.	600	100	0	600
			0	0
			0	0
Total	9,900		0	9,900

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore staff will travel to 3 parishes in Region 1. Staff will also travel to conferences and meetings.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent - \$2500 per mo. x 12	30,000	100	0	30,000
Parking - \$900 per mo. x 12	10,800	100	0	10,800
Telephone & Cell Phone Reimbursements -841.70 x 12	10,100	100	0	10,100
Workers Comp - \$463 x 12	5,556	100	0	5,556
Lease (copier & postage machine) - \$458.35 . x 12	5,500	100	0	5,500
Postage - \$500 per mo. x 12	6,000	100	0	6,000
Equipment Maintenance - \$466.70 per mo. x 12	5,600	100	0	5,600
Employee Training & Orientation - \$41.70 x 12	500	100	0	500
Payroll Processing & Misc. - \$276 per mo. x 12	3,312	100	0	3,312
<b>Total</b>	<b>77,368</b>		<b>0</b>	<b>77,368</b>

Justification

Office space (including parking) and other operating expenses based upon current property costs in New Orleans, Louisiana.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Supplies (paper,pens,stationary, etc.) (1125 x 12)	13,500	100	0	13,500
Miscellaneous (outside printing) (\$110 x12)	1,320	100	0	1,320
		0	0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>14,820</b>		<b>0</b>	<b>14,820</b>

Justification

Office supplies including paper, pens, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Audit/Legal Fees - \$333.35 per mo. x 12	4,000	100	0	4,000
		0	0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>4,000</b>		<b>0</b>	<b>4,000</b>

Justification

Meet state audit requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0	0	0
		0	0	0
			0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Administrative Costs	44,995	100	0	44,995
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
Total	44,995		0	44,995

Justification

Indirect cost for administration of contract represents 11% of contract total.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification

### Object Detail

0	(Enter Cat 2 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
Total		0		0	0

### Justification



DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR:  FROM:  TO:

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	251,389	0	251,389
RELATED BENEFITS	(41)	51,569	0	51,569
TRAVEL	(12)	9,900	0	9,900
OPERATING SERVICES	(13)	77,368	0	77,368
SUPPLIES	(14)	14,820	0	14,820
PROFESSIONAL SVCS	(15)	4,000	0	4,000
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	44,995	0	44,995
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		454,041	0	454,041

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds  
If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment III  
FY 16/17

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	31.5	2,080	65,520	100	0	65,520
EI Consultant/Supervisor	22.2	2,080	46,176	100	0	46,176
Intake Service Coordinator	17.8	2,080	37,024	100	0	37,024
Intake Service Coordinator	17.8	2,080	37,024	100	0	37,024
Intake Service Coordinator	17.8	2,080	37,024	100	0	37,024
Data Management/Admin. Clerk	18.6	2,080	38,688	100	0	38,688
			0	100	0	0
			0		0	0
			0		0	0
Total			261,456		0	261,456

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA	20,001	100	0	20,001
Health Insurance	26,208	100	0	26,208
Dental Insurance	1,872	100	0	1,872
Life Insurance	780	100	0	780
Long-Term Disability/AD&D	985	100	0	985
Unemployment	3,786	100	0	3,786
			0	0
			0	0
			0	0
Total	53,632		0	53,632

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 20.513% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Program Director	1,935	100	0	1,935
EI Consultant/Supervisor	1,935	100	0	1,935
Intake Coordinator	1,934	100	0	1,934
Intake Coordinator	1,934	100	0	1,934
Intake Coordinator	1,934	100	0	1,934
Mileage Conferences & Mtgs.	624	100	0	624
			0	0
			0	0
			0	0
Total	10,296		0	10,296

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore staff will travel to 3 parishes in Region 1. Staff will also travel to conferences and meetings.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$2600 per mo. x 12)	31,200	100	0	31,200
Parking (\$936 per mo. x 12)	11,232	100	0	11,232
Telephone & Cell Phone Reimbursements -875.30 x 12	10,504	100	0	10,504
Workers Comp - \$481.50 x 12	5,778	100	0	5,778
Lease (copier & postage machine) (\$476.66 x 12)	5,720	100	0	5,720
Postage (\$520 per mo. x 12)	6,240	100	0	6,240
Equipment Maintenance (\$485 per mo. x 12)	5,820	100	0	5,820
Employee Training & Orientation (\$43 x 12)	516	100	0	516
Payroll Processing & Misc. (\$286.66 per mo. x 12)	3,440	100	0	3,440
<b>Total</b>	<b>80,450</b>		<b>0</b>	<b>80,450</b>

Justification

Office space (including parking) and other operating expenses based upon current property costs in New Orleans, Louisiana.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Supplies (paper,pens,stationary, etc.) \$1170 x 12	14,040	100	0	14,040
Miscellaneous (outside printing) (\$114 x 12)	1,368	100	0	1,368
		0	0	0
			0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>15,408</b>		<b>0</b>	<b>15,408</b>

Justification

Office supplies including paper, pens, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Audit/Legal Fees (\$346.66 per mo. x 12)	4,160	100	0	4,160
		100	0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>4,160</b>		<b>0</b>	<b>4,160</b>

Justification

Meet state audit requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		100	0	0
		100	0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Administrative Costs	46,794	100	0	46,794
			0	0
			0	0
			0	0
			0	0
			0	0
Total	46,794		0	46,794

Justification

Indirect cost for administration of contract represents 11% of contract total.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification

### Object Detail

<b>0</b>	<b>(Enter Cat 2 name)</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
		<b>0</b>		<b>0</b>	<b>0</b>
<b>Total</b>		<b>0</b>		<b>0</b>	<b>0</b>

## Justification



CONTRACTOR: Easter Seals Louisiana

FROM: 7/01/2016

TO: 06/30/2017

CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	SOURCE OF FUNDS	
			APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	261,456	0	261,456
RELATED BENEFITS	(41)	53,632	0	53,632
TRAVEL	(12)	10,296	0	10,296
OPERATING SERVICES	(13)	80,450	0	80,450
SUPPLIES	(14)	15,408	0	15,408
PROFESSIONAL SVCS	(15)	4,160	0	4,160
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	46,794	0	46,794
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		472,196	0	472,196

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment III

FY 17/18

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	32.75	1,734	56,789	100	0	56,789
EI Consultant/Supervisor	23.08	1,734	40,021	100	0	40,021
Intake Service Coordinator	18.51	1,734	32,096	100	0	32,096
Intake Service Coordinator	18.51	1,734	32,096	100	0	32,096
Intake Service Coordinator	18.51	1,734	32,096	100	0	32,096
Data Management/Admin. Clerk	19.34	1,734	33,536	100	0	33,536
			0	100	0	0
			0		0	0
			0		0	0
Total			226,634		0	226,634

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA	17,330	100	0	17,330
Health Insurance	22,710	100	0	22,710
Dental Insurance	1,620	100	0	1,620
Life Insurance	680	100	0	680
Long-Term Disability/AD&D	850	100	0	850
Unemployment	3,270	100	0	3,270
			0	0
			0	0
			0	0
Total	46,460		0	46,460

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 20.5% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Program Director	1,676	100	0	1,676
EI Consultant/Supervisor	1,676	100	0	1,676
Intake Coordinator	1,676	100	0	1,676
Intake Coordinator	1,676	100	0	1,676
Intake Coordinator	1,676	100	0	1,676
Mileage Conferences & Mtgs.	540	100	0	540
			0	0
			0	0
Total	8,920		0	8,920

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore staff will travel to 3 parishes in Region 1. Staff will also travel to conferences and meetings.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$2704 per mo. x 10)	27,040	100	0	27,040
Parking (\$973 per mo. x 10)	9,730	100	0	9,730
Telephone & Cell Phone Reimbursements -911 x 10	9,110	100	0	9,110
Workers Comp - \$501 x 10	5,010	100	0	5,010
Lease (copier & postage machine) (\$496 x 10)	4,960	100	0	4,960
Postage (\$541 per mo. x 10)	5,410	100	0	5,410
Equipment Maintenance (\$505 per mo. x 10)	5,050	100	0	5,050
Employee Training & Orientation (\$45 x 10)	450	100	0	450
Payroll Processing & Misc. (\$299 per mo. x 10)	2,990	100	0	2,990
<b>Total</b>	<b>69,750</b>		<b>0</b>	<b>69,750</b>

Justification

Office space (including parking) and other operating expenses based upon current property costs in New Orleans, Louisiana.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Supplies (paper,pens,stationary, etc.) \$1217 x 10	12,170	100	0	12,170
Miscellaneous (outside printing) (\$119 x 10)	1,190	100	0	1,190
		0	0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>13,360</b>		<b>0</b>	<b>13,360</b>

Justification

Office supplies including paper, pens, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Audit/Legal Fees (\$432.60 per mo. x 10)	4,326	100	0	4,326
		100	0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>4,326</b>		<b>0</b>	<b>4,326</b>

Justification

Meet state audit requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		100	0	0
		100	0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Administrative Costs	40,640	100	0	40,640
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
Total	40,640		0	40,640

Justification

Indirect cost for administration of contract represents 11% of contract total.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification

### Object Detail

<b>0</b>	<b>(Enter Cat 2 name)</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
		0		0	0
<b>Total</b>		0		0	0

### Justification



DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Easter Seals Louisiana FROM: 7/01/2017 TO: 04/30/2018

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	226,634	0	226,634
RELATED BENEFITS	(41)	46,460	0	46,460
TRAVEL	(12)	8,920	0	8,920
OPERATING SERVICES	(13)	69,750	0	69,750
SUPPLIES	(14)	13,360	0	13,360
PROFESSIONAL SVCS	(15)	4,326	0	4,326
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	40,640	0	40,640
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		410,090	0	410,090

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds  
If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

Part C - System Point of Entry  
Sample Monthly Invoice

Agency Name:  
CFMS #:  
Contact Person:  
Address:

Phone:  
Email:

Month: \_\_\_\_\_

Vendor#: \_\_\_\_\_

Invoice #: \_\_\_\_\_

SPOE Region: \_\_\_\_\_ PROGRAM: EARLYSTEPS

Date: \_\_\_\_\_

Categories		Approved Amount	Previously Billed	Current Expenses	Balance Remaining
Personnel			\$ -	\$ -	\$
Related Benefits			-	-	
Travel			-	-	
Operating Supplies			-	-	
Supplies			-	-	
Professional Services					
Capital Assets			-	-	
Administrative			-	-	
Total			\$ -	\$ -	\$

CONTRACTOR'S CERTIFICATE

"This is to certify that the information contained on this form is true, accurate and complete and that expenditures shown above were made for the furtherance of and in conformity with the contractual agreement with DHH/OCDD."

\_\_\_\_\_  
Signature of Contractor

\_\_\_\_\_  
Date

OCDD Approval Signature

\_\_\_\_\_  
Date

225-342-0095  
Contact Phone #



## **Attachment VI**

1. **Order of Precedence:** The contract shall, to the extent possible, be construed to give effect to all provision contained therein, however, where provisions conflict, the intent of the parties shall be determined by giving a first priority to provisions of the contract excluding the RFP and the proposal; second priority to the provision of the RFP; and third priority to the provisions of the proposal.
2. **Entire Agreement:** This contract, together with the RFP and addenda issued thereto by the Department, the proposal submitted by the contractor in response to the Department's RFP, and any exhibits specifically incorporated herein reference constitute the entire agreement between the parties with respect to the subject matter.

## BOARD RESOLUTION

STATE OF LOUISIANA

PARISH OF ORLEANS

On the 17<sup>th</sup> day of September, 2014 at a meeting of the Board of Directors of **EASTER SEALS LOUISIANA, INC.**, a corporation held in New Orleans, an incorporated municipality in the Parish of Orleans, with Quorum of the Directors present, the following business was conducted:

**"BE IT RESOLVED** that the Board of Directors of the above corporation do hereby authorize **TRACY GARNER** President/CEO and her successors in office to negotiate on terms and conditions that they may deem advisable, including contracts with the Louisiana Department of Health and Hospitals (DHH) and other State and Federal agencies on behalf of the corporation and further we do hereby give them the power to do all things necessary to implement, maintain, amend or renew said documents, contracts, leases, agreements, etc."

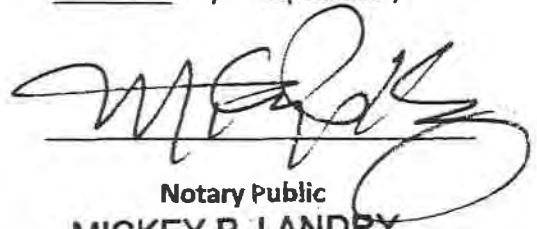
The above resolution was passed by a majority of those present and voting in accordance with the ByLaws and Articles of Incorporation.

I certify that the above and foregoing constitutes a true and correct copy of a part of the minutes of the Board of Directors of **EASTER SEALS LOUISIANA, Inc.**, held on the 17<sup>th</sup> day of September, 2014.



Secretary

Executed before me, the undersigned Notary Public, this 30 day of September, 2014.



Notary Public

**MICKEY P. LANDRY**  
Notary Public, Bar No. 22817  
State of Louisiana, Parish of Orleans  
My Commission is issued for life.





# State of Louisiana

## DEPARTMENT OF HEALTH AND HOSPITALS Office for Citizens with Developmental Disabilities

March 25, 2015

Ms. Pamela Bartfay-Rice, Esq.  
Director  
Divisions of Administration  
Office of Contractual Review  
P.O. Box 94095  
Baton Rouge, LA 70804-9095

Dear Ms. Rice:

Please consider this justification for the Department of Health and Hospitals, Office for Citizens with Developmental Disabilities to enter in to a multi-year contract with the ten System Point of Entry Contractors selected through the RFP process:

- Region 1 – Easter Seals Louisiana (CFMS – 735114 )
- Region 2 – Southeast Area Health Education Center (CFMS – 735115)
- Region 3 – Southeast Area Health Education Center (CFMS – 735268)
- Region 4 – First Steps Referral and Consulting, LLC (CFMS – 735229)
- Region 5 – First Steps Referral and Consulting, LLC (CFMS – 735210)
- Region 6 – Easter Seals Louisiana (CFMS – 735219)
- Region 7 – Families Helping Families at the Crossroads (CFMS – 735293)
- Region 8 – Easter Seals Louisiana (CFMS – 735294)
- Region 9 – Southeast Area Health Education Center (CFMS – 735292)
- Region 10 – Southeast Area Health Education Center (CFMS – 735213)


These contractors provide services for the EarlySteps system which are required by the Federal IDEA, Part C program with the US Department of Education. A multi-year contract supports the continuity of the required services: intake, initial eligibility determination, intake service coordination, as well as hosting the regional data systems for the State system for 10,000 annual referrals, and service authorizations for approximately 9300 children each year.

Funds for the first fiscal year of the contract are available and payment and performance for subsequent fiscal years shall be subject to the availability of funds.

The estimated requirements covering the period of the contract are reasonably firm and continuing and such a contract will serve the best interests of the State by encouraging effective competition or otherwise promoting economies in state procurement through the continuity of services provided over multiple years.

If further information is needed, please call (342-0095).

Sincerely,

  
Brenda Sharp,  
Program Manager

SUMMARY OF INFORMATION

<b>CONTRACTOR NAME</b> Easter Seals Louisiana		<b>Amount</b> <b>\$ 1,411,259.00</b>
<b>CONTRACT DATES</b> <b>Effective Date</b> 05-01-2015 <b>Termination Date</b> 04-30-2018		<b>BA-22 ATTACHED</b> <input checked="" type="checkbox"/>

Certification Requirements: (Check Applicable Items)

- ☒ 1.
- Either no employee of this agency is both competent and available to perform the services called for by the proposed contract and/or the services called for are not the type readily susceptible of being performed by persons who are employed by the State on a continuing basis.
- ☒ 2.
- The services are not available as a product of a prior or existing professional, personal contract.
- ☒ 3.
- When applicable, the requirements for consultant contracts, as provided for under R.S. 39:1503-1507, have been complied with (proper documentation should be provided).
- ☒ 4.
- The using agency has developed and fully intends to implement a written plan providing for the assignment of specific using personnel to a monitoring and liaison function. Identify name of individual of staff unit responsible for monitoring this contract:

<b>Name</b> Brenda Sharp, Program Manager	<b>Phone No.</b> (225)342-0095
<b>Location</b> 628 N. 4th Street P.O. Box 3117 Bin 21 Baton Rouge, LA 70821-3117	

**Summary of Monitoring Plan:** (This must include periodic review of specified reports, documents, exception reporting, or other indicia or performance, etc.). Additional pages may be attached if necessary.

Monitoring will be achieved by receipt of all deliverables as listed on Attachment II including the review of monthly reports submitted and reports obtained through the central data system which will be monitored by the EarlySteps Program Manager.

The ultimate use of the final product of the services: (Specify)

Identify EarlySteps eligible infants and toddlers served under the Part C system thus meeting the federal benchmark of a least 2% served statewide.

- ☒ 5.
- Respond to questions A or B on all contracts except those funded by "Other Charges" (3600 series) of Budget:  
A. What critical services will go unprovided and to whom?  
Early intervention services would not be available to children in need.  
  
B. How many hours will the contractor have to work? N/A
- ☒ 6.
- Completed monitoring report will be submitted to the Office of Contractual Review within 60 days after termination of contract. (For Personal, Professional, Consulting contracts exceeding \$20,000)
- ☒ 7.
- The services have not been artificially divided to as to constitute a small purchase (not exceeding \$20,000).
- ☒ 8.
- A cost-benefit analysis has been conducted which indicates that obtaining such services from the private sector is more cost-effective than providing such services the agency itself or by any agreement with another state agency and includes both a short-term and long-term analysis and is available for review.
- ☒ 9.
- The cost basis for the proposed contract is justified and reasonable.
- ☒ 10.
- A description of the specific goals and objectives, deliverables, performance measures and a plan for monitoring the services to be provided are contained in the proposed contract.

PRIOR CONTRACT INFORMATION MUST BE FILLED OUT (IF NO PRIOR CONTRACT PUT N/A)

<b>PRIOR YEAR SERVICES PROVIDED BY (Contractor Name):</b> Easter Seals Louisiana			
<b>CFMS#:</b> 730485	<b>DHH#:</b> 060287	<b>EFF:</b> 07-01-2014	<b>TERM:</b> 04-30-2015
<b>AMOUNT:</b> \$ 439,999.00	<b>PREVIOUSLY ISSUED UNDER RFP?</b> IF YES, DATE: <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO      DATE: 06-02-2011		


YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Contains a date upon which the contract is to begin and upon which the contract will terminate.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Contains a description of the work to be performed and objectives to be met.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Contains an amount and time payment to be made.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Contains a description of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Contains a date of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. When a contract includes travel and/or other reimbursable expenses, it contains language to effect the following:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	A. Travel and other reimbursable expenses shall constitute part of the total maximum payable under the contract; (or)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	B. No more than (a certain sum) of the total maximum amount payable under this contract shall be paid or received as reimbursement for travel and other reimbursable expenses; (and)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	C. Travel expenses shall be reimbursed in accordance with Division of Administration Policy and Procedure memorandum 49 (The State General Travel Regulations).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. Contains the responsibility for payment of taxes.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	8. Contains the circumstances under which the contract can be terminated either with or without cause and contains the remedies for default.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	9. Contains a statement giving the Legislative Auditor the authority to audit records of the individual(s) or firm(s).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10. Contains an assignability clause as provided for under LAC-4:4.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	11. Budget Form BA-22, fully completed and attached to back of each contract.

DETERMINATION OF RESPONSIBILITY

YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Had adequate financial resources for performance, or has the ability to obtain such resources as required during performance.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Has the necessary experience, organization, technical qualifications, skills and facilities or has the ability to obtain them (including probable subcontractor arrangements).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Is able to comply with the proposed or required time of delivery or performance schedule.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Has a satisfactory record of integrity, judgment and performance (contractors which are seriously delinquent in current contract performance, considering the number of contracts and the extent of delinquencies of each, shall in the absences of evidence to the contrary or compelling circumstances presumed to be unable to fulfill this agreement).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Is otherwise qualified and eligible to receive an award under applicable laws and regulations.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. If a contract for consulting services is for \$50,000 or more: The head of the using agency has prepared, signed and placed in the contract file a statement of the facts on which a determination of responsibility of offer or potential subcontractors have been filed with the statement.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. On subcontracting, it has been established that contractors recent performance history indicates acceptable subcontracting systems; or, major subcontractors have been determined by the heads of the using agency to satisfy this standard

R.F.P. CONSULTING CONTRACTS FOR \$50,000 OR MORE; UNLESS DETERMINED EXEMPT AS PER ACT 673 of 1985, R.S. 39:1494.1 (A).

☐ Contract file attached and this includes:  
☐Criteria for selection    ☐Proposals    ☐Pertinent Documents    ☐Selection Memorandum

PROGRAM / FACILITY SIGNATURE		ASSISTANT SECRETARY OR DESIGNEE SIGNATURE
<div></div>		<div></div>
OFFICE	PHONE NUMBER	OFFICE
OCDD/EarlySteps	(225)342-0095	Office for Citizens with Developmental Disabilities

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION  
BA-22 (REV. 09/2005)

Date: 4/2/2015 Dept/Budget Unit: 09/340/2000  
Agency Name: Office for Citizens with Developmental Disabi OCR/CFMS Contract #: 735114  
Agency BA-22 #: 28 Agency Contract #: 060724

Fiscal Year for this BA-22: 2014-2015 BA-22 Start/End Dates: 05/01/15 06/30/15  
(yyyy-yy) (Start Date) (End Date)

Multi-year Contract (Yes/No): Yes If "Yes", provide contract dates:  
05/01/15 04/30/18  
(Start Date) (End Date)

Easter Seals Louisiana 72069437600  
(Contractor/Vendor Name) (Contractor/Vendor No.)

Contractor will provide System Point of Entry services with the Region 1 Parishes for Early Steps.  
(Provide a statement of "Services Provided")

Contract Amendment (Yes/No): NO Amendment Start/End Dates: \_\_\_\_\_  
(Start Date) (End Date)

Contract Cancellation (Yes/No): NO Date of Cancellation: \_\_\_\_\_

(Provide rationale for amendment or cancellation)

This information is to be provided at the Agency Level				
MEANS OF FINANCING		AMOUNT		
	Current Year	%	Total Contract	%
State General Fund	\$0	0%	\$0	0.0%
Interagency Transfers	\$0	0%	\$0	0.0%
Fees and Self Gen.	\$0	0.0%	\$0	0.0%
Statutory Dedication	\$0	0.0%	\$0	0.0%
Federal	\$74,932	100%	\$1,411,259	100.0%
TOTALS	\$74,932	100%	\$1,411,259	100.0%

\*Specify Source (i.e., grant name, fund name, IAT sending agency and revenue source, fee type and source, etc.)

Are revenue collections for funds utilized above in line with budgeted amounts? (Yes/No)

If not, explain.

This information is to be provided at the Agency Level	
Name of Object Code/Category:	Miscellaneous Charges
Object Code/Category Number:	3655
Amount Budgeted:	\$15,496,069
Amount Previously Obligated:	\$5,970,543
Amount this BA-22:	\$74,932
Balance:	\$9,450,594

The approval of the aforementioned contract will not cause this agency to be placed in an Object Category deficit.

Agency Contact: Clent Goff Reviewed/Approved By: Geetha Kumar  
Name: Clent Goff Name: Geetha Kumar  
Title: Program Manager 1 Title: Program Manager  
Phone: (225) 342-0943 Phone: (225) 342-8725

FOR AGENCY USE ONLY

AGENCY	PROGRAM	ACTIVITY	ORGANIZ.	OBJECT	REPT CAT	AMOUNT
340	2000		8112	3655	8107	\$74,932.00

AMENDMENT TO  
AGREEMENT BETWEEN STATE OF LOUISIANA  
LOUISIANA DEPARTMENT OF HEALTH

Amendment #: 1  
LAGOV#: 2000122711  
LDH #: 060750

(Regional/ Program/  
Facility

Office for Citizens with Developmental Disabilities

EarlySteps, Louisiana's Early Intervention System

Original Contract Amt \$ 1,244,552.00

AND

Original Contract Begin Date 05-01-2015

Easter Seals Louisiana

Original Contract End Date 04-30-2018

Contractor Name

RFP Number: 305PUR-DHHRFP-SPQ5

AMENDMENT PROVISIONS

Change Contract From: From Maximum Amount: \$ 1,244,552.00 Current Contract Term: 05/01/2015 - 04/30/2018

CF-1 Block 13 Maximum Contract Amount \$1,244,552 FY15 \$66,473, FY16 \$402,173, FY17 \$416,257, FY18 \$359,649

Block 14 Terms of Payment: See Attachment III: Budget

Change Contract To: To Maximum Amount: \$ 2,106,969.00 Changed Contract Term: 5/01/2015 - 4/30/2020

CF-1 Block 13 Maximum Contract Amount \$2,106,969 FY15 \$66,473, FY16 \$402,173, FY17 \$416,257 FY18 \$359,649 (10 month), FY 18 \$71,815 (2 month), FY19 \$430,953, FY20 \$359,649

Block 14 Terms of Payment: See Attachment III: Budget

Justifications for amendment:

The current contract, which was executed via RFP# 305PUR-DHHRFP-SPOE-2014-OCDD on May 1, 2015, expires on April 30, 2018. The RFP included an option to extend the resulting contract from 3 to 5 years. Since 2008, the RFP has been issued 3 times with one other qualified applicant competing. LDH/OCDD is satisfied with the performance of Easter Seals of Louisiana in meeting all deliverables and would like to exercise the option to extend the contract the allowable 24 months, in the Region 6 parishes for EarlySteps, the Louisiana's Early Intervention program.

This Amendment Becomes Effective: 05-01-2018

This amendment contains or has attached hereto all revised terms and conditions agreed upon by contracting parties.

IN WITNESS THEREOF, this amendment is signed and entered into on the date indicated below.

CONTRACTOR

Easter Seals Louisiana

STATE OF LOUISIANA  
LOUISIANA DEPARTMENT OF HEALTH

Secretary, Louisiana Department of Health or Designee

CONTRACTOR SIGNATURE DATE

PRINT NAME Tracy Garner

CONTRACTOR TITLE President/CEO

SIGNATURE DATE

NAME Mark A. Thomas

TITLE Assistant Secretary

OFFICE Office for Citizens with Developmental Disabilities

PROGRAM SIGNATURE DATE

NAME



LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	25.74	346	8,906	100	0	8,906
EI Consultant/Supervisor	19.56	346	6,768	100	0	6,768
Intake Service Coordinator	17.25	346	5,969	100	0	5,969
Intake Service Coordinator	17.25	346	5,969	100	0	5,969
Intake Service Coordinator	17.25	346	5,969	100	0	5,969
Data Management/Admn Clerk	16.06	346	5,557	100	0	5,557
			0	100	0	0
			0	100	0	0
			0		0	0
Total			39,138		0	39,138

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Social Security & Medicare	3,000	100	0	3,000
Health Insurance	4,500	100	0	4,500
Dental Insurance	322	100	0	322
Life Insurance	134	100	0	134
Long-Term Disability/AD&D	170	100	0	170
Unemployment	563	100	0	563
			0	0
			0	0
			0	0
Total	8,689		0	8,689

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 22.20% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Program Director	434	100	0	434
EI Consultant/Supervisor	434	100	0	434
Intake Service Coordinator	434	100	0	434
Intake Service Coordinator	434	100	0	434
Intake Service Coordinator	434	100	0	434
Mileage Conferences & Mtgs.	108	100	0	108
			0	0
			0	0
Total	2,278		0	2,278

Justification

Travel to reimbursed in accordance with PPM49. Families do not travel to the office, therefore staff will travel to 8 parishes in Region 6. Staff will also travel to conferences and meetings.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$3214x 2)	6,428	100	0	6,428
Utilities (\$530x 2)	1,060	100	0	1,060
Telephone & Cell Phone Reimbursements (\$610x 2)	1,220	100	0	1,220
Lease (copier & postage machine) (\$268x 2)	536	100	0	536
Postage (\$334x 2)	668	100	0	668
Equipment Maintenance (\$482x 2)	964	100	0	964
Employee Training & Orientation (\$108x 2)	216	100	0	216
Workers Comp (\$441x 2)	882	100	0	882
Payroll processing & Misc (\$305x 2)	610	100	0	610
<b>Total</b>	<b>12,584</b>		<b>0</b>	<b>12,584</b>

Justification

Office space and other operating expenses based upon current cost in Alexandria, LA

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Supplies (paper, pens, stationary, etc.) (\$565x 2)	1,130	100	0	1,130
Miscellaneous (outside printing) (\$118x 2)	236	100	0	236
			0	0
			0	0
			0	0
<b>Total</b>	<b>1,366</b>		<b>0</b>	<b>1,366</b>

Justification

Office supplies including paper, pens, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Audit/Legal Fees (\$321.40x 2)	643	100	0	643
			0	0
			0	0
			0	0
<b>Total</b>	<b>643</b>		<b>0</b>	<b>643</b>

Justification

Meet state audit requirements





LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Easter Seals Louisiana Reg 6 FROM: 5/1/17 TO: 6/30/18

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	39,138	0	39,138
RELATED BENEFITS	(41)	8,689	0	8,689
TRAVEL	(12)	2,278	0	2,278
OPERATING SERVICES	(13)	12,584	0	12,584
SUPPLIES	(14)	1,366	0	1,366
PROFESSIONAL SVCS	(15)	643	0	643
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	7,117	0	7,117
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		71,815	0	71,815

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					



LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	25.74	2,080	53,539	100	0	53,539
EI Consultant/Supervisor	19.56	2,080	40,685	100	0	40,685
Intake Service Coordinator	17.25	2,080	35,880	100	0	35,880
Intake Service Coordinator	17.25	2,080	35,880	100	0	35,880
Intake Service Coordinator	17.25	2,080	35,880	100	0	35,880
Data Management/Admn Clerk	16.06	2,080	33,405	100	0	33,405
			0	100	0	0
			0	100	0	0
			0		0	0
Total			235,269		0	235,269

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Social Security & Medicare	18,000	100	0	18,000
Health Insurance	27,000	100	0	27,000
Dental Insurance	1,932	100	0	1,932
Life Insurance	804	100	0	804
Long-Term Disability/AD&D	1,020	100	0	1,020
Unemployment	3,403	100	0	3,403
			0	0
			0	0
Total	52,159		0	52,159

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 22.17% related benefit rate

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Program Director	2,528	100	0	2,528
EI Consultant/Supervisor	2,528	100	0	2,528
Intake Service Coordinator	2,527	100	0	2,527
Intake Service Coordinator	2,527	100	0	2,527
Intake Service Coordinator	2,527	100	0	2,527
Mileage Conferences & Mtgs.	624	100	0	624
			0	0
Total	13,261		0	13,261

Justification

Travel to reimbursed in accordance with PPM49. Families do not travel to the office, therefore staff will travel to 8 parishes in Region 6. Staff will also travel to conferences and meetings.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$3214x12)	38,568	100	0	38,568
Utilities (\$530x12)	6,360	100	0	6,360
Telephone & Cell Phone Reimbursements (\$610x12)	7,320	100	0	7,320
Lease (copier & postage machine) (\$268x12)	3,216	100	0	3,216
Postage (\$334x12)	4,008	100	0	4,008
Equipment Maintenance (\$482x12)	5,784	100	0	5,784
Employee Training & Orientation (\$108x12)	1,296	100	0	1,296
Workers Comp (\$441x12)	5,292	100	0	5,292
Payroll processing & Misc (\$305x12)	3,660	100	0	3,660
<b>Total</b>	<b>75,504</b>		<b>0</b>	<b>75,504</b>

Justification

Office space and other operating expenses based upon current cost in Alexandria, LA

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Supplies (paper, pens, stationary, etc.) (\$565x12)	6,780	100	0	6,780
Miscellaneous (outside printing) (\$118x12)	1,416	100	0	1,416
			0	0
			0	0
<b>Total</b>	<b>8,196</b>		<b>0</b>	<b>8,196</b>

Justification

Office supplies including paper, pens, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Audit/Legal Fees (\$321.40x12)	3,857	100	0	3,857
			0	0
			0	0
<b>Total</b>	<b>3,857</b>		<b>0</b>	<b>3,857</b>

Justification

Meet state audit requirements





LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Easter Seals Louisiana Reg 6 FROM: 7/1/18 TO: 6/30/19

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	235,269	0	235,269
RELATED BENEFITS	(41)	52,159	0	52,159
TRAVEL	(12)	13,261	0	13,261
OPERATING SERVICES	(13)	75,504	0	75,504
SUPPLIES	(14)	8,196	0	8,196
PROFESSIONAL SVCS	(15)	3,857	0	3,857
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	42,707	0	42,707
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		430,953	0	430,953

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					



LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	25.74	1,734	44,633	100	0	44,633
EI Consultant/Supervisor	19.56	1,734	33,917	100	0	33,917
Intake Service Coordinator	17.25	1,734	29,912	100	0	29,912
Intake Service Coordinator	17.25	1,734	29,912	100	0	29,912
Intake Service Coordinator	17.25	1,734	29,912	100	0	29,912
Data Management/Admn Clerk	16.06	1,734	27,848	100	0	27,848
			0	100	0	0
			0	100	0	0
			0		0	0
Total			196,134		0	196,134

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Social Security & Medicare	15,000	100	0	15,000
Health Insurance	22,500	100	0	22,500
Dental Insurance	1,610	100	0	1,610
Life Insurance	670	100	0	670
Long-Term Disability/AD&D	850	100	0	850
Unemployment	2,840	100	0	2,840
			0	0
Total	43,470		0	43,470

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 22.1632% related benefit rate

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Program Director	2,180	100	0	2,180
EI Consultant/Supervisor	2,180	100	0	2,180
Intake Service Coordinator	2,180	100	0	2,180
Intake Service Coordinator	2,180	100	0	2,180
Intake Service Coordinator	2,180	100	0	2,180
Mileage Conferences & Mtgs.	540	100	0	540
			0	0
Total	11,440		0	11,440

Justification

Travel to reimbursed in accordance with PPM49. Families do not travel to the office, therefore staff will travel to 8 parishes in Region 6. Staff will also travel to conferences and meetings.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$3214x10)	32,140	100	0	32,140
Utilities (\$530x10)	5,300	100	0	5,300
Telephone & Cell Phone Reimbursements (\$610x10)	6,100	100	0	6,100
Lease (copier & postage machine) (\$268x10)	2,680	100	0	2,680
Postage (\$334x10)	3,340	100	0	3,340
Equipment Maintenance (\$482x10)	4,820	100	0	4,820
Employee Training & Orientation (\$108x10)	1,080	100	0	1,080
Workers Comp (\$441x10)	4,410	100	0	4,410
Payroll processing & Misc (\$305x10)	3,050	100	0	3,050
<b>Total</b>	<b>62,920</b>		<b>0</b>	<b>62,920</b>

Justification

Office space and other operating expenses based upon current cost in Alexandria, LA

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Supplies (paper, pens, stationary, etc.) (\$565x10)	5,650	100	0	5,650
Miscellaneous (outside printing) (\$118x10)	1,180	100	0	1,180
			0	0
<b>Total</b>	<b>6,830</b>		<b>0</b>	<b>6,830</b>

Justification

Office supplies including paper, pens, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Audit/Legal Fees (\$321.40x10)	3,214	100	0	3,214
			0	0
			0	0
<b>Total</b>	<b>3,214</b>		<b>0</b>	<b>3,214</b>

Justification

Meet state audit requirements





**LDH CONTRACT BUDGET**  
**SUMMARY BUDGET FOR THIS PERIOD**

**Attachment**

CONTRACTOR:  FROM:  TO:

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	196,134	0	196,134
RELATED BENEFITS	(41)	43,470	0	43,470
TRAVEL	(12)	11,440	0	11,440
OPERATING SERVICES	(13)	62,920	0	62,920
SUPPLIES	(14)	6,830	0	6,830
PROFESSIONAL SVCS	(15)	3,214	0	3,214
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	35,641	0	35,641
(Enter Cat 1 name)	(0)			
(Enter Cat 2 name)	(0)			
TOTAL COST		359,649	0	359,649

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

**Fund Distribution Section**

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					



DHH - CF - 1  
Revised: 2011-06

CONTRACT BETWEEN STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS

CFMS: 735219  
DHH: 060750  
Agency # 340

Office for Citizens with Developmental Disabilities  
EarlySteps, Louisiana's Early Intervention System  
AND  
Easter Seals Louisiana

FOR

☐ Personal Services ☐ Professional Services ☐ Consulting Services ☒ Social Services

1) Contractor (Legal Name if Corporation) Easter Seals Louisiana			5) Federal Employer Tax ID# or Social Security # 72069437600 (Must be 11 Digits)		
2) Street Address 1010 Common Street, Suite 2000			6) Parish(es) Served 05, 13, 15, 22, 30, 40, 58, 64		
City 1010 Common Street, Suite 2000	State LA	Zip Code 70112	7) License or Certification # NA		
3) Telephone Number (504) 523-7325			8) Contractor Status		
4) Mailing Address (if different)			Subrecipient: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
			Corporation: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
			For Profit: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
			Publicly Traded: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
City	State	Zip Code	8a) CFDA#(Federal Grant #) 84.181A		

9) Brief Description Of Services To Be Provided:  
Contractor will provide System Point of Entry (SPOE) services with the Region 6 parishes for EarlySteps, Louisiana's Early Intervention System and its eligible infants & toddler from birth to three as regulated under Part C of the Individuals with Disabilities Education Improvement Act (IDEA). Contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and supporting the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family . The contractor will maintain electronic and hard copy paper files of the early intervention records. Contractor shall perform work in accordance with Attachment II: Statement of Work.

10) Effective Date 05-01-2015	11) Termination Date 04-30-2018
-------------------------------	---------------------------------

12) This contract may be terminated by either party upon giving thirty (30) days advance written notice to the other party with or without cause but in no case shall continue beyond the specified termination date.

13) Maximum Contract Amount \$ 1,244,552.00	14/15-66,473 15/16-402,173 16/17-416,257 17/18 - 359,649
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14) Terms of Payment  
If progress and/or completion of services are provided to the satisfaction of the initiating Office/Facility, payments are to be made as follows:  
Fiscal will pay invoices within (20) days after receipt.

Travel will be reimbursed in accordance with PPM 49.

Authorization for payment will be made upon submission of deliverables summarized within monthly report and itemized invoices after approval from the Program Manager. Contractor will be paid on a cost reimbursement basis in accordance with attached budget.

Contractor obligated to submit final invoices to Agency within fifteen (15) days after termination of contract.

PAYMENT WILL BE MADE ONLY UPON APPROVAL OF:	First Name Brenda	Last Name Sharp
	Title Program Manager	Phone Number (225) 342-0095

15) Special or Additional Provisions which are incorporated herein, if any (IF NECESSARY, ATTACH SEPARATE SHEET AND REFERENCE):

- |                                    |                               |
|------------------------------------|-------------------------------|
| Attachment I: HIPAA Addendum       | Exhibit I: Board Resolution   |
| Attachment II: Statement of Work   | Exhibit II: Multi Year Letter |
| Attachment III Budget              |                               |
| Attachment IV: Monthly Invoice     |                               |
| Attachment V: SPOE Monthly Report  |                               |
| Attachment VI: Order of Precedence |                               |

**During the performance of this contract, the Contractor hereby agrees to the following terms and conditions:**

1. Contractor hereby agrees to adhere as applicable to the mandates dictated by Titles VI and VII of the Civil Rights Act of 1964, as amended; the Vietnam Era Veterans' Readjustment Assistance Act of 1974; Americans with Disabilities Act of 1990 as amended; the Rehabilitation Act of 1973 as amended; Sec. 202 of Executive Order 11246 as amended, and all applicable requirements imposed by or pursuant to the regulations of the U. S. Department of Health and Human Services. Contractor agrees not to discriminate in the rendering of services to and/or employment of individuals because of race, color, religion, sex, age, national origin, handicap, political beliefs, disabled veteran, veteran status, or any other non-merit factor.
2. Contractor shall abide by the laws and regulations concerning confidentiality which safeguard information and the patient/client confidentiality. Information obtained shall not be used in any manner except as necessary for the proper discharge of Contractor's obligations. (The Contractor shall establish, subject to review and approval of the Department, confidentiality rules and facility access procedures.)
3. The State Legislative Auditor, Office of the Governor, Division of Administration, and Department Auditors or those designated by the Department shall have the option of auditing all accounts pertaining to this contract during the contract and for a three year period following final payment. Contractor grants to the State of Louisiana, through the Office of the Legislative Auditor, Department of Health and Hospitals, and Inspector General's Office, Federal Government and/or other such officially designated body the right to inspect and review all books and records pertaining to services rendered under this contract, and further agrees to guidelines for fiscal administration as may be promulgated by the Department. Records will be made available during normal working hours.

Contractor shall comply with federal and state laws and/or DHH Policy requiring an audit of the Contractor's operation as a whole or of specific program activities. Audit reports shall be sent within thirty (30) days after the completion of the audit, but no later than six (6) months after the end of the audit period. If an audit is performed within the contract period, for any period, four (4) copies of the audit report shall be sent to the Department of Health and Hospitals, Attention: **Division of Fiscal Management, P.O. Box 91117, Baton Rouge, LA 70821-3797** and one (1) copy of the audit shall be sent to the **originating DHH Office**.

4. Contractor agrees to retain all books, records and other documents relevant to the contract and funds expended thereunder for at least four (4) years after final payment or as prescribed in 45 CFR 74:53 (b) whichever is longer. Contractor shall make available to the Department such records within thirty (30) days of the Department's written request and shall deliver such records to the Department's central office in Baton Rouge, Louisiana, all without expense to the Department. Contractor shall allow the Department to inspect, audit or copy records at the contractor's site, without expense to the Department.
5. Contractor shall not assign any interest in this contract and shall not transfer any interest in the same (whether by assignment or novation), without written consent of the Department thereto, provided, however, that claims for money due or to become due to Contractor from the Department under this contract may be assigned to a bank, trust company or other financial institution without advanced approval. Notice of any such assignment or transfer shall be promptly furnished to the Department and the Division of Administration, Office of Contractual Review.
6. Contractor hereby agrees that the responsibility for payment of taxes from the funds received under this contract shall be Contractor's. The contractor assumes responsibility for its personnel providing services hereunder and shall make all deductions for withholding taxes, and contributions for unemployment compensation funds.
7. Contractor shall obtain and maintain during the contract term all necessary insurance including automobile insurance, workers' compensation insurance, and general liability insurance. The required insurances shall protect the Contractor, the Department of Health and Hospitals, and the State of Louisiana from all claims related to Contractor's performance of this contract. Certificates of Insurance shall be filed with the Department for approval. Said policies shall not be canceled, permitted to expire, or be changed without thirty (30) days advance written notice to the Department. Commercial General Liability Insurance shall provide protection during the performance of work covered by the contract from claims or damages for personal injury, including accidental death, as well as claims for property damages, with combined single limits prescribed by the Department.
8. In cases where travel and related expenses are required to be identified separate from the fee for services, such costs shall be in accordance with State Travel Regulations. The contract contains a maximum compensation which shall be inclusive of all charges including fees and travel expenses.
9. No funds provided herein shall be used to urge any elector to vote for or against any candidate or proposition on an election ballot nor shall such funds be used to lobby for or against any proposition or matter having the effect of law being considered by the legislature or any local governing authority. This provision shall not prevent the normal dissemination of factual information relative to a proposition or any election ballot or a proposition or matter having the effect of law being considered by the legislature or any local governing authority. Contracts with individuals shall be exempt from this provision.
10. Should contractor become an employee of the classified or unclassified service of the State of Louisiana during the effective period of the contract, Contractor must notify his/her appointing authority of any existing contract with State of Louisiana and notify the contracting office of any additional state employment. This is applicable only to contracts with individuals.

11. All non-third party software and source code, records, reports, documents and other material delivered or transmitted to Contractor by State shall remain the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract. All non-third party software and source code, records, reports, documents, or other material related to this contract and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract.

12. Contractor shall not enter into any subcontract for work or services contemplated under this contract without obtaining prior written approval of the Department. Any subcontracts approved by the Department shall be subject to conditions and provisions as the Department may deem necessary; provided, however, that notwithstanding the foregoing, unless otherwise provided in this contract, such prior written approval shall not be required for the purchase by the contractor of supplies and services which are incidental but necessary for the performance of the work required under this contract. No subcontract shall relieve the Contractor of the responsibility for the performance of contractual obligations described herein.

13. No person and no entity providing services pursuant to this contract on behalf of contractor or any subcontractor is prohibited from providing such services by the provisions of R.S. 42:1113 as amended in the 2008 Regular Session of the Louisiana Legislature.

14. No claim for services furnished or requested for reimbursement by Contractor, not provided for in this contract, shall be allowed by the Department. In the event the Department determines that certain costs which have been reimbursed to Contractor pursuant to this or previous contracts are not allowable, the Department shall have the right to set off and withhold said amounts from any amount due the Contractor under this contract for costs that are allowable.

15. This contract is subject to and conditioned upon the availability and appropriation of Federal and/or State funds; and no liability or obligation for payment will develop between the parties until the contract has been approved by required authorities of the Department; and, if contract exceeds \$20,000, the Director of the Office of Contractual Review, Division of Administration in accordance with La. R.S. 39:1502..

16. The continuation of this contract is contingent upon the appropriation of funds from the legislature to fulfill the requirements of the contract. If the Legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds are not appropriated.

17. Any alteration, variation, modification, or waiver of provisions of this contract shall be valid only when reduced to writing, as an amendment duly signed, and approved by required authorities of the Department; and, if contract exceeds \$20,000, approved by the Director of the Office of Contractual Review, Division of Administration. Budget revisions approved by both parties in cost reimbursement contracts do not require an amendment if the revision only involves the realignment of monies between originally approved cost categories.

18. Any contract disputes will be interpreted under applicable Louisiana laws and regulations in Louisiana administrative tribunals or district courts as appropriate.

19. Contractor will warrant all materials, products and/or services produced hereunder will not infringe upon or violate any patent, copyright, trade secret, or other proprietary right of any third party. In the event of any such claim by any third party against DHH, the Department shall promptly notify Contractor in writing and Contractor shall defend such claim in DHH's name, but at Contractor's expense and shall indemnify and hold harmless DHH against any loss, expense or liability arising out of such claim, whether or not such claim is successful. This provision is not applicable to contracts with physicians, psychiatrists, psychologists or other allied health providers solely for medical services.

20. Any equipment purchased under this contract remains the property of the Contractor for the period of this contract and future continuing contracts for the provision of the same services. Contractor must submit vendor invoice with reimbursement request. For the purpose of this contract, equipment is defined as any tangible, durable property having a useful life of at least (1) year and acquisition cost of \$1000.00 or more. The contractor has the responsibility to submit to the Contract Monitor an inventory list of DHH equipment items when acquired under the contract and any additions to the listing as they occur. Contractor will submit an updated, complete inventory list on a quarterly basis to the Contract Monitor. Contractor agrees that upon termination of contracted services, the equipment purchased under this contract reverts to the Department. Contractor agrees to deliver any such equipment to the Department within 30 days of termination of services.

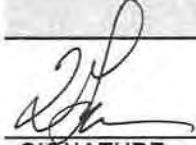
21. Contractor agrees to protect, indemnify and hold harmless the State of Louisiana, DHH, from all claims for damages, costs, expenses and attorney fees arising in contract or tort from this contract or from any acts or omissions of Contractor's agents, employees, officers or clients, including premises liability and including any claim based on any theory of strict liability. This provision does not apply to actions or omissions for which LA R.S. 40:1299.39 provides malpractice coverage to the contractor, nor claims related to treatment and performance of evaluations of persons when such persons cause harm to third parties (R.S. 13:5108.1(E)). Further it does not apply to premises liability when the services are being performed on premises owned and operated by DHH.

22. Any provision of this contract is severable if that provision is in violation of the laws of the State of Louisiana or the United States, or becomes inoperative due to changes in State and Federal law, or applicable State or Federal regulations.

23. Contractor agrees that the current contract supersedes all previous contracts, negotiations, and all other communications between the parties with respect to the subject matter of the current contract.

**THIS CONTRACT CONTAINS OR HAS ATTACHED HERETO ALL THE TERMS AND CONDITIONS AGREED UPON BY THE CONTRACTING PARTIES. IN WITNESS THEREOF, THIS CONTRACT IS SIGNED ON THE DATE INDICATED BELOW.**

Easter Seals Louisiana



SIGNATURE

3/6/15  
DATE

Tracy Garner

NAME

President/CEO

TITLE

STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS

SIGNATURE

DATE

Kathy Kliebert

NAME

Secretary, Department of Health and Hospital or Designee

TITLE

EarlySteps, Louisiana's Early Intervention System

SIGNATURE

DATE

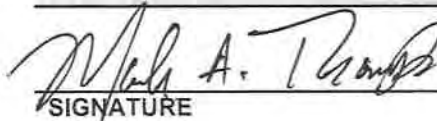
Brenda Sharp

NAME

Program Manager

TITLE

Office for Citizens with Developmental Disabilities



SIGNATURE

DATE

Mark A. Thomas

NAME

Assistant Secretary

TITLE



**Office of State Procurement  
PROACT Contract Certification of Approval**

**This certificate serves as confirmation that the Office of State Procurement has reviewed and approved the contract referenced below.**

**Reference Number:** 735219

**Vendor:** Easter Seals Louisiana

**Description:** Contractor will provided System Point of Entry (SPOE) - Region 6

**Approved By:** Pamela Rice

**Approval Date:** 6/29/2015

The above referenced number has been assigned by this office and will be used as identification for the approved contract. Please use this number when referring to the contract in any future correspondence or amendment(s).

The Internal Revenue Service (IRS) may find that this contract creates an employment relationship between your agency and the contractor. You should be advised that your agency is responsible for all taxes and penalties if such a finding is forthcoming. It is incumbent upon your agency to determine if an employee/employer relationship exists. Your agency must make the appropriate withholdings in accordance with law and IRS regulations, if applicable.

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## HIPAA Business Associate Addendum

This HIPAA Business Associate Addendum is hereby made a part of this contract in its entirety as Attachment \_\_\_\_\_ to the contract.

1. The Louisiana Department of Health and Hospitals ("DHH") is a Covered Entity, as that term is defined herein, because it functions as a health plan and as a health care provider that transmits health information in electronic form.
2. Contractor is a Business Associate of DHH, as that term is defined herein, because contractor either: (a) creates, receives, maintains, or transmits PHI for or on behalf of DHH; or (b) provides legal, actuarial, accounting, consulting, data aggregation, management, administrative, accreditation, or financial services for DHH involving the disclosure of PHI.
3. Definitions: As used in this addendum –
  - A. The term "HIPAA Rules" refers to the federal regulations known as the HIPAA Privacy, Security, Enforcement, and Breach Notification Rules, found at 45 C.F.R. Parts 160 and 164, which were originally promulgated by the U. S. Department of Health and Human Services (DHHS) pursuant to the Health Insurance Portability and Accountability Act ("HIPAA") of 1996 and were subsequently amended pursuant to the Health Information Technology for Economic and Clinical Health ("HITECH") Act of the American Recovery and Reinvestment Act of 2009.
  - B. The terms "Business Associate", "Covered Entity", "disclosure", "electronic protected health information" ("electronic PHI"), "health care provider", "health information", "health plan", "protected health information" ("PHI"), "subcontractor", and "use" have the same meaning as set forth in 45 C.F.R. § 160.103.
  - C. The term "security incident" has the same meaning as set forth in 45 C.F.R. § 164.304.
  - D. The terms "breach" and "unsecured protected health information" ("unsecured PHI") have the same meaning as set forth in 45 C.F.R. § 164.402.
4. Contractor and its agents, employees and subcontractors shall comply with all applicable requirements of the HIPAA Rules and shall maintain the confidentiality of all PHI obtained by them pursuant to this contract and addendum as required by the HIPAA Rules and by this contract and addendum.
5. Contractor shall use or disclose PHI solely: (a) for meeting its obligations under the contract; or (b) as required by law, rule or regulation (including the HIPAA Rules) or as otherwise required or permitted by this contract and addendum.
6. Contractor shall implement and utilize all appropriate safeguards to prevent any use or disclosure of PHI not required or permitted by this contract and addendum, including administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the electronic protected health information that it creates, receives, maintains, or transmits on behalf of DHH.
7. In accordance with 45 C.F.R. § 164.502(e)(1)(ii) and (if applicable) § 164.308(b)(2), contractor shall ensure that any agents, employees, subcontractors or others that create, receive, maintain, or transmit PHI on behalf of contractor agree to the same restrictions, conditions and requirements that apply to contractor with respect to such information, and it shall ensure that they implement reasonable and appropriate safeguards to protect such information. Contractor shall take all reasonable steps to ensure that its agents', employees' or subcontractors' actions or omissions do not cause contractor to violate this contract and addendum.
8. Contractor shall, within three (3) days of becoming aware of any use or disclosure of PHI, other than as permitted by this contract and addendum, report such disclosure in writing to the person(s) named in section 14 (Terms of Payment), page 1 of the CF-1. Disclosures which must be reported by contractor include, but are not limited to, any security incident, any breach of unsecured PHI, and any "breach of the security system" as defined in the Louisiana Database Security Breach Notification Law, La.R.S. 51:3071 *et seq.* At the option of DHH, any harm or damage resulting from any use or disclosure which violates this contract and addendum shall be mitigated, to the extent practicable, either: (a) by contractor at its own expense; or (b) by DHH, in which case contractor shall reimburse DHH for all expenses that DHH is required to incur in undertaking such mitigation activities.
9. To the extent that contractor is to carry out one or more of DHH's obligations under 45 C.F.R. Part 164, Subpart E, contractor shall comply with the requirements of Subpart E that apply to DHH in the performance of such obligation(s).
10. Contractor shall make available such information in its possession which is required for DHH to provide an accounting of disclosures in accordance with 45 CFR § 164.528. In the event that a request for accounting is made directly to contractor, contractor shall forward such request to DHH within two (2) days of such receipt. Contractor shall implement an appropriate record keeping process to enable it to comply with the requirements of this provision. Contractor shall maintain data on all disclosures of PHI for which accounting is required by 45 CFR § 164.528 for at least six (6) years after the date of the last such disclosure.
11. Contractor shall make PHI available to DHH upon request in accordance with 45 CFR § 164.524.
12. Contractor shall make PHI available to DHH upon request for amendment and shall incorporate any amendments to PHI in accordance with 45 CFR § 164.526.
13. Contractor shall make its internal practices, books, and records relating to the use and disclosure of PHI received from or created or received by contractor on behalf of DHH available to the Secretary of the U. S. DHHS for purposes of determining DHH's compliance with the HIPAA Rules.
14. Contractor shall indemnify and hold DHH harmless from and against any and all liabilities, claims for damages, costs, expenses and attorneys' fees resulting from any violation of this addendum by contractor or by its agents, employees or subcontractors, without regard to any limitation or exclusion of damages provision otherwise set forth in the contract.
15. The parties agree that the legal relationship between DHH and contractor is strictly an independent contractor relationship. Nothing in this contract and addendum shall be deemed to create a joint venture, agency, partnership, or employer-employee relationship between DHH and contractor.
16. Notwithstanding any other provision of the contract, DHH shall have the right to terminate the contract immediately if DHH determines that contractor has violated any provision of the HIPAA Rules or any material term of this addendum.
17. At the termination of the contract, or upon request of DHH, whichever occurs first, contractor shall return or destroy (at the option of DHH) all PHI received or created by contractor that contractor still maintains in any form and retain no copies of such information; or if such return or destruction is not feasible, contractor shall extend the confidentiality protections of the contract to the information and limit further uses and disclosure to those purposes that make the return or destruction of the information infeasible.

## ATTACHMENT II

### Statement of Work

#### **GOAL/PURPOSE**

The contractor will provide System Point of Entry services to infants and toddlers (birth to three years old) who have developmental delays or diagnosed medical conditions likely to result in developmental delays in accordance with the Individuals with Disabilities Education Improvement Act (IDEA). The contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family in EarlySteps, Louisiana's IDEA Part C system.

#### **Deliverable 1**

The contractor shall provide qualified and trained Intake Support Coordinators to provide the required services outlined below and to function as the EarlySteps initial point of contact for the designated region.

**Deliverable 1.1:** Contractor will receive referrals from a parent, family member, physician, teacher, service providers, agencies, etc. Contractor will respond to each referral within specified timelines, and the following services will be offered: intake coordination via face-to-face interview and/or telephone contact, screening of the child, review of referral information and concerns, access of other health or evaluation information. The contractor must conduct the face-to-face interview with the family in their natural environment unless otherwise arranged with the family and with documentation that supports the family's decision.

**Deliverable 1.2:** Contractor will ensure that completion of the initial face-to-face interview with the family will include providing the following information: introduction of the family to the EarlySteps system and providing to the family, in the family's primary language or other mode of communication (including in writing), their procedural safeguards and their right to due process under IDEA-Part C in 34 CFR 303.400-438 related to intake and eligibility procedures.

**Deliverable 1.3:** Contractor will receive informed written consent from the parent/legal guardian to participate in the EarlySteps system in order to proceed with the intake process, eligibility process, accessing of information requests and initial IFSP development.

**Deliverable 1.4:** Contractor will request and document receipt of information from appropriate health, medical, educational, and other community services providers with parental consent.

**Outcome 1.5:** Contractor will complete the family interview and developmental screening of each referred child using the Ages and Stages Questionnaire or other tool approved by EarlySteps for children referred for developmental delay.

**Deliverable 1.6:** Contractor will ensure receipt of all relevant information from the family to complete intake process including: Medicaid eligibility verification, insurance and income verification and eligibility for and referral to other community programs/services.

- The SPOE shall verify Medicaid eligibility according to the requirements specified in Chapter 4 of the Practice Manual located at <http://www.earlysteps.dhh.louisiana.gov>.

**Deliverable 1.7:** Contractor will conduct a determination of need coordinated with the EarlySteps central and regional office staff, to access the surrogate parent system. The contractor's role shall include: Submitting any such names and addresses to OCDD for appropriate surrogate parent action, using the state-developed form; assisting OCDD in recruiting surrogate parent volunteers; assisting OCDD with local surrogate parent training if necessary; reviewing the child's situation in regards to whether a parent or guardian is present; and determining if a referred child would benefit from a surrogate parent. Within ten (10) business days of the child's initial referral to the contractor, the contractor must complete and return to OCDD the designated form for each child believed to be eligible to receive a surrogate appointment based on the criteria set forth under 34 CFR 303.406. OCDD shall appoint a surrogate parent and inform the contractor of the appointment.

**Deliverable 1.8:** Contractor will send an acknowledgement of receipt of referral form to referral sources using a standard acknowledgement letter provided by EarlySteps.

**Deliverable 1.9:** Contractor will send certified letters to families when contact attempts fail.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of referrals processed within 3 business days.
- Documentation of percentage of face-to-face interviews with families within 10 business days.
- Documentation of percentage of referral acknowledgements sent within 5 business days.

## ATTACHMENT II

### Statement of Work

- Documentation of percentage of certified letters sent to families after 3 documented contact attempts.
- Reports reflect accuracy of chart data within acceptable parameters as determined in monitoring activities.
- Documentation that parent CQI survey results shall be conducted by the contractor and consistent with targets set for the Louisiana Annual Performance Report (APR) for Indicator 4 for appropriate SPOE region. The APR is posted on the EarlySteps website.

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports
- Review results of parent survey data
- Review chart for required activity documentation

#### **Deliverable 2: Conduct Eligibility Determination Process**

The contractor shall coordinate eligibility determination for each child who enters the process following screening, arrange for the eligibility evaluator, early intervention consultant, family, and other multidisciplinary team members as appropriate, and facilitate the eligibility and/or IFSP team meetings. (Approximately 5,100 eligibility evaluations were coordinated by the SPOEs in 2012-13).

Deliverable 2.1: Contractor will collect relevant assessments and evaluations shall be collected from other sources including the referral source.

Deliverable 2.2: Contractor will assemble appropriate multidisciplinary team to review the referral information and previous assessment/medical information and to participate in the eligibility determination process in accordance with IDEA Part C regulations and EarlySteps policies. This team shall be an in-house multidisciplinary team with experience with evaluating infants and toddlers with disabilities, including the early intervention consultant, and/or shall be selected from the EarlySteps-enrolled early intervention evaluation providers. Payment for the EarlySteps-enrolled evaluators will be billed by them separately according to current EarlySteps process, not through the SPOE contractor.

Deliverable 2.3: Contractor will complete the determination of eligibility as required under IDEA Part C IDEA and state and federal regulations, the EarlySteps Practice Manual and the training modules: Making Informed Decisions, Battelle Developmental-2 Inventory and the Autism Screening module. Autism screening shall be conducted with children 18 months of age and annually thereafter.

Deliverable 2.4: Contractor will conduct referrals to community supports and resources and other services, including referral for EPSDT case management for children not eligible for EarlySteps.

#### **Performance Measures**

Contractor shall provide or maintain:

- The contractor shall meet the timelines specified in the RFP. EIDS captures the data based on SPOE performance. Reports shall be generated based on these activities. In addition the SPOE shall submit a monthly performance report which is included as Attachment XI. Accurate completion of data entry results shall be in successfully issued authorizations.
- Documentation of percentage of children processed from referral to initial IFSP within 45 calendar days, consistent with targets for APR and regional targets as specified in Attachment VIII
- Documentation of parent CQI survey results shall be consistent with targets set in Louisiana APR Indicator 4
- Documentation of identification of children shall be referred to EPSDT by the Bureau of Health Services Financing contractor
- Documentation of the number of eligibility evaluations completed by the multidisciplinary eligibility team

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports and self-assessments
- Review of the results of parent survey data.
- Review of chart for required documentation

## ATTACHMENT II

### Statement of Work

#### **Deliverable 3: Assess family concerns, priorities, and resources and develop initial Individualized Family Service Plan (IFSP)**

The contractor will coordinate the results of the evaluation and assessment process including the family-directed assessment, information collected during the intake process, results of the evaluation and assessment data, using a team-based model, which supports decision-making necessary to develop the IFSP as specified below:

**Deliverable 3.1:** Contractor will ensure that family concerns, priorities and resources are accurately reflected in the IFSP following an assessment conducted as part of the eligibility determination process for families of eligible children.

**Deliverable 3.2:** Contractor will ensure that the family chooses a Family Service Coordinator and Providers from the Service Matrix.

**Deliverable 3.3:** Contractor will ensure that an IFSP team is assembled that consist of the following members:

- Parent(s) of the child
- Other family members, requested by the parent(s)
- An advocate or other person(s) requested by the family,
- The Family Service Coordinator selected by the family at the time of the initial referral, as defined under 34 CFR 303.34 that has been designated responsible for the implementation of the IFSP.
- Person(s) involved in conducting the evaluations and assessments, in-person or through other means, such as participation by telephone conference call or through pertinent records that are available at the meeting. A knowledgeable authorized representative may also attend the meeting as a substitute for the person unable to attend [34 CFR 303.343 (a) (v)], and
- Service providers [34 CFR 303.343 (a) (vi)] as appropriate.

**Deliverable 3.4:** Contractor will complete the initial IFSP within 45 calendar days of referral that identify child and family priorities according to IFSP requirements.

**Deliverable 3.5:** Contractor will complete referrals and transition activities for children referred to the OCDD and the local education agency (LEA) prior to the child's 3rd birthday according to EarlySteps and OCDD policy. Referrals to other resource agencies, such as Families Helping Families, Child Care Resource and Referral Agencies, Head Start and Early Head Start, etc., identified during intake process shall be made.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of completion of activities associated with referral, eligibility determination, and initial IFSP within 45calendar days.
- Documentation that IFSPs are complete and accurately identify child and family outcomes from assessment process
- Documentation of average costs of services within service guidelines  
EarlySteps utilizes Service Guidelines called IFSP Team services process found in Chapter 6 of the Practice Manual which outlines a process based upon 24 hours of services in 6 months. These are the service guidelines referred to in the RFP from which average per child costs can be determined. Average per child costs are typically \$2100 per child for service costs only. Variations from this guideline are allowable according to the defined process. SPOEs shall follow the guidelines in the development of the initial IFSP so that cost effectiveness is demonstrated.
- Documentation of percentage of IFSPs completed which meet targets for Louisiana APR indicators 1, 2, 7, and 8

#### **Monitoring Plan**

The contract monitor will:

- Review of chart for hard copy of IFSP, transition meeting and documentation of referrals sent to OCDD and the LEA
- Review of EIDS data is within established parameters for region according to quarterly EIDS reports
- Review of Corrective Action Plans developed and timely correction of any targets not met
- Review of monthly report submitted to regional and central office staff. Attachment XI of the RFP outlines the data that EarlySteps requires for monthly reporting by the SPOE.
- Review evidence of team process in IFSP development according to signatures of participating members.

## ATTACHMENT II

### Statement of Work

**Deliverable 4: Provide administrative functions related to collecting family financial information, issuing service authorizations and data entry for the Central Finance Office (CFO).**

The contractor will perform activities which support timely service delivery for enrolled infants and toddlers and accurate, timely data reporting as specified below:

**Deliverable 4.1:** Contractor will submit Service authorizations to the CFO within 2 business days of the initial IFSP meeting.

**Deliverable 4.2:** Contractor will ensure that subsequent service authorizations are received from and processed for the FSC and service providers within 3 days following an IFSP review /revision.

**Deliverable 4.3:** Contractor will ensure that each child's Master record is maintained as specified below.

**Deliverable 4.4:** Contractor will ensure that data uploads to CFO are conducted according to the established schedule.

**Deliverable 4.5:** Contractor will ensure that Family income information is collected during the intake process for entry into EIDS and issuance of the Family Cost Participation Notice Statement. Ongoing financial data entry will occur annually as well.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of IFSPs completed which shall meet targets for Louisiana APR Indicators 1, 2, 7, and 8
- Documentation of IFSP services fully authorized for initial service provision shall occur within 30 days of parent consent. Service providers shall be able to provide timely services following access to service authorizations
- Documentation of Family Cost Share shall be accurately calculated requiring a minimum of system adjustments following entry

#### **Monitoring Plan**

The contract monitor will:

- Review chart for master copy of IFSP and other documentation for child master record
- Review provider billing processed by CFO and Medicaid
- Review EIDS data within state-established parameters

**Deliverable 5: Establish and Maintain Record Keeping System according to Federal and State Requirements**

The contractor shall establish and maintain records for each child as well as in support of business operations as specified below:

**Deliverable 5.1:** Contractor will maintain all early intervention records shall be maintained in accordance with the applicable regulations under IDEA, Family Education Rights and Privacy Act (FERPA) and Education Department General Accounting Rules (EDGAR), including hard copy paper file and electronic file record, as described below, regardless of the outcome of the intake process (i.e. eligible or not, accept or decline services, etc.).

**Deliverable 5.2:** Contractor will use the Early Intervention data system software (EIDS) operated by the CFO contractor for accurate data entry as the link between the contractor's records and the EIDS. EIDS is provided at no cost to the contractor.

**Deliverable 5.3:** Contractor will obtain all notices of actions and consents; family support coordination documentation including meeting notifications, IFSP reviews/evaluations, new IFSPs, correspondence, family income information, and releases in the hard copy file record in the format required shall be maintained.

**Deliverable 5.4:** Contractor will utilize required EarlySteps forms for record keeping according to the instructions provided in the EarlySteps Practice Manual.

**Deliverable 5.5:** Contractor will ensure data entry in EIDS is accurate such that OCDD is able to:

- Identify gaps in the local service delivery system and the need for resource development, personnel recruitment, etc.;



## ATTACHMENT II

### Statement of Work

- Conduct financial forecasting, fund acquisition, and other reporting functions accurately
- Verify required system components (e.g. IFSP, releases, consents, etc.) are completed according to state and federal regulations.
- Submit eligibility verification and prior authorization data to Molina the fiscal intermediary for the Bureau of Health Services Financing.

**Deliverable 5.6:** Contractor will ensure all child and family information, medical records, and data elements collected, maintained or used in the administration of the contract from unauthorized disclosure as set forth under 34 CFR 303.406 shall be protected according to:

- Safeguards that restrict the use or disclosure of information concerning children and families to purposes directly connected with the administration of the contract.
- Records, reports, documentation, data, and material developed or acquired by the contractor, as a direct requirement specified in the contract shall become the property of the State of Louisiana.
- Information gained by the contractor as a result of the activities conducted under the contract shall be confidential, and no reports, documentation, or material prepared as required by or obtained through the contract shall be released to the public without the prior written consent of OCDD and must include the identification of EarlySteps, OCDD and the State of Louisiana.
- Signatures obtained from all employees or subcontractors of the contractor agreeing to the confidentiality provisions of the contract as required by the OCDD.

**Deliverable 5.7:** Contractor will maintain financial, time, and accounting records and evidence pertaining to the contract in accordance with generally accepted accounting principles and other procedures as specified by DHH/OCDD. These records must be made available to DHH/OCDD, and/or its designees, and the legislative auditor during the contract period, any renewal period, and for the period of time specified below for retention of records.

**Deliverable 5.8:** Contractor will securely store books, records, evidence, and other documents relevant to the contract for a period of four (4) years after final payment and the completion of an audit (if an audit is performed). Any records or documents involved in, related to, or required for any litigation, claim, negotiation, audit, or other such action must be retained until the resolution of the action, or until four years have passed after final payment and completion of any required audit, whichever is later. The contractor shall allow authorized representatives of the State of Louisiana agencies and the federal government to inspect these records upon request.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of records is complete, accurate and meets Federal and State Requirements.
- Evidence that hard copy documentation shall be consistent with EIDS data.
- Documentation of records are maintained according to the required timelines

#### **Monitoring Plan**

The contract monitor will:

- Review charts
- Conduct agency Audits
- Review Data Report

#### **Deliverable 6: Hire and Train staff to meet functions of SPOE office (see Attachment VI for Job Descriptions)**

The Contractor will conduct activities which meet personnel requirements and needs of the region as specified below. Key personnel commitments made in the contract shall only be changed with prior written approval of DHH/OCDD. The contractor shall be responsible for the training and education of new personnel at the contractor's expense. DHH/OCDD shall not be liable for any cost related to the training or education of new or substitute staff.

**Deliverable 6.1:** Contractor will hire personnel who will demonstrate effective service provision as required in the contract and meet qualifications specified.

**Deliverable 6.2:** Contractor will hire appropriate number of staff necessary to provide all required services.

**Deliverable 6.3:** Contractor will hire staff members that meet specified qualifications.

**Deliverable 6.4:** Contractor will provide additional necessary support (such as data support) to assist the Intake Service Coordinators in providing the services required herein.

## ATTACHMENT II

### Statement of Work

**Deliverable 6.5:** Contractor and/or sub-contractor will, if requested by DHH, provide all necessary authorizations for the background checks for all personnel. The contractor must arrange for background checks for required staff according to requirements of the Department of Children and Family Services. This requirement states that an employee or subcontractor of the contractor must pass a background check prior to employment and or initiation of a contract and every three years thereafter or according to the requirements of RS 49:950 et seq. (The State reserves the right to conduct a background check on any contractor or sub-contractor personnel).

#### Performance Measures

Contractor shall provide or maintain:

- Supporting documentation that all staff meets specified qualifications.
- Documentation of adequate staffing of program results in timeline requirements being met according to APR Indicators 1, 7, and 8.

#### Monitoring Plan

The contract monitor will:

- Review Charts -Personnel files
- Review EIDS reports
- Review Staff Training Records
- Review documentation of Verification of Background Checks

**Deliverable 7: Ensure that all licensing and training requirements are met according to the *Case Management Services Provider Manual*, reissued 7/01/2002.**

The contractor will arrange and/or provide case management training and EarlySteps training as specified below:

**Deliverable 7.1:** Contract will ensure that each Intake Service Coordinator and Intake Service Coordinator/Early Intervention Consultant-Supervisor complete required licensing and EarlySteps training as specified below and participate in any required meetings. In addition, the intake service coordinators must adhere to the requirements of the EarlySteps Practice Manual.

EarlySteps Training Requirements shall include the following:

- Module 1: Orientation—EarlySteps: A New Look
- Module 2: Evaluation and Assessment—Making Informed Decisions on-line module and with a face-to-face component (when available) through EarlySteps
- Module 3: Spectrum of Child Development
- Module 4: Family-Centered Practices
- Module 5: Introduction to Teaming Practices
- Module 6: Introduction to the Individualized Family Services Plan on-line and Individualized Family Service Plan Process-a face-to-face component, when available.
- Module 7: Concerns, Priorities and Resource Process, a face-to-face training activity, when available
- Module 8: Talking to Families about their Rights, an online module
- Face-to-Face Orientation to EarlySteps by Regional Coordinator
- Technical Assistance provided at a minimum of 1 hour per month with the Regional Coordinator in region served; meetings may increase based on the SPOE needs. All SPOE staff will be required to attend scheduled meetings.
- SPOE software training
- Additional training as required by DHH/OCDD

**Additional Case Management Licensing Training Requirements:**

Orientation- at least sixteen (16) hours must be provided to all staff, volunteers, and students within five (5) working days of employment. A minimum of eight (8) hours of the orientation training must cover orientation to early intervention including, but not limited to, specific service needs and resources. This orientation must include, at a minimum:

- Case Management Provider policies and procedures.
- Medicaid and other applicable DHH policies and procedures.
- Confidentiality.
- Documentation in case records.
- Parents' Rights under IDEA Part C.
- Recipient rights protection and reporting of violations.
- Recipient abuse and neglect reporting policies and procedures.
- Recognizing and defining abuse and neglect.
- Emergency and safety procedures.

## ATTACHMENT II

### Statement of Work

- Data management and record keeping.
- Infection control and universal precautions.
- Working with the early intervention population.
- Professional ethics.
- Outcome measures.

**Deliverable 7.2:** Contractor will ensure that in addition to the required sixteen (16) hours of orientation, all new employees without documented training must receive an additional minimum sixteen (16) hours of training during the first ninety (90) calendar days of employment. This training must be related to the population of infants and toddlers with disabilities to be served, must include specific knowledge, skills, and techniques, and must include the training modules listed above.

**Deliverable 7.3:** Contractor will ensure that an individual with demonstrated knowledge of both the training topics and the target population provide this training. This training must include the following at a minimum:

- Assessment techniques.
- Support and service planning.
- Support and service planning for children with complex medical needs
- Resource identification.
- Interviewing and interpersonal skills.
- Data management and record keeping.
- Communication skills
- Cultural awareness.
- Personal outcome measures.

**Deliverable 7.4:** Contract will ensure that new employees do not assume service coordinator responsibility until the orientation is satisfactorily completed. This additional training may be counted as part of the required 40 annual hours. The following is a list of suggested additional topics for training:

- Nature of illness or disability, including symptoms and behavior.
- Pharmacology.
- Potential array of services for the population.
- Building natural support system.
- Family dynamics.
- Developmental life stages.
- First aid/CPR.
- Signs and symptoms of mental illness, alcohol, and drug addiction, mental retardation/developmental disabilities and head injuries.
- Monitoring techniques.
- Advocacy.
- Behavior management techniques.
- Values clarification/goals and objectives.
- Available community resources.
- Cultural diversity.
- Health management.
- Team building/interagency collaboration.
- Transition/closure.
- Facilitating team meetings.
- Stress and time management.
- Legal issues.
- Outcome measures.

**Deliverable 7.5:** Contractor will ensure that individuals who supervise Intake Service Coordinators complete a minimum of 40 hours of training a year. Suggested topics for supervisory training include:

- Professional ethics
- Process for interviewing, screening, and hiring staff
- Orientation/in service training of staff
- Evaluating staff
  - Approaches to supervision
  - Managing caseload size
  - Conflict resolution
  - Documentation
  - Time management

## ATTACHMENT II

### Statement of Work

The contractor shall print EarlySteps Practice Manual and any updates and shall make them available to all of the contractor's staff. Verification of training on the program practice manual shall be documented by the contractor. The manual is available on the website at <http://www.earlysteps.dhh.louisiana.gov/>.

#### Performance Measures

Contractor shall provide or maintain:

- Documentation of personnel records that include - Time, date, trainer, trainer's qualifications and agenda signed by supervisor, documentation of training provided by outside entities or organizations to include certificate of attendance signed by trainer or training organizations.

#### Monitoring Plan

The contract monitor will:

- Review Personnel File
- Review attendance records
- Review Training and Supervision Logs

#### Deliverable 8: Ensure quality of data reporting and quality assurance

The contractor will develop and implement quality management strategies which assure quality of contractor and EarlySteps system implementation and accuracy of data entry and reporting as follows:

Deliverable 8.1: Contractor will develop written procedures for performance of the services, as required herein, within 90 calendar days of the initiation of the contract which reflect provisions of the EarlySteps system in a prompt, professional, family-centered, equitable, consistent, and culturally competent manner that ensures:

- Each referred child shall be guaranteed equal and timely access to the services available through the EarlySteps system or referred to other appropriate services, regardless of the nature of the child's disability or the degree of disability, family educational/socioeconomic status, primary language or geographic location.
- Families shall receive accurate and timely information, knowledge of choices or options available, and shall be given an explanation of their rights, opportunities and responsibilities under both Part C federal law and state law.
- Collaborative relationships with referring agencies, providers and other community agencies are developed which support the EarlySteps team-based service delivery model.
- Access for children and their families to systems and services that will assist in meeting their needs including those related to the child's developmental concerns as well as enhancing the family's capacity in meeting the needs of their child.
- Confidentiality of data, including medical records, payment information, child and family information, and early intervention service records shall be maintained
- Data shall be entered accurately and in a timely manner
- A written plan for conducting a self-evaluation and report findings to OCDD shall be developed and implemented by the Contractor throughout the Contractor's organization.
- A written approved Quality Enhancement Plan that engages in learning or collecting performance information to determine how well they are meeting the Contractor's goals; responding or acting in ways to improve performance, implementing or activating a plan that has well defined goals and objectives, and evaluating and monitoring the implementation of the quality project

Deliverable 8.2: Contractor will ensure that data management results in accurate data reporting which meets state and federal requirements such that:

- Procedures which ensure confidentiality of all contents including medical records, payment information, child and family information, and early intervention service records shall be implemented.
- Reporting requirement established by OCDD including monthly reports, corrective action plans, self-assessments and Individual Family Service Plans (IFSPs) shall be met.
- Procedures shall ensure timely, accurate input of data into EIDS.

#### Performance Measures

Contractor shall provide or maintain:

Documentation of policy manual development within 90 days of contract initiation which shall include, but shall not be limited to, the following:

- Anti-discrimination
- Evaluations
- Promotion

## ATTACHMENT II

### Statement of Work

- Disciplinary actions
- Termination
- Employee grievances
- Continuous quality management
- Training requirements

A written Quality Enhancement Plan must be developed within 90 days of contract initiation and approved by OCDD which shall include:

- Contractor's vision and mission
- Establishing a Quality Council
- Establishing an Organizational Infrastructure to Support Quality QM Policy and procedures
- Evaluating Fidelity of Implementation of the Contractor's plan and updates
- Quality management committee which includes stakeholders
- Data collection and analysis
- Procedures for conducting self-evaluation and other quality enhancements and procedures to report findings to OCDD according to established guidelines
- Training
- Procedures for determination of consumer satisfaction and means to address concerns identified

#### **Monitoring Plan**

The contract monitor will:

- Review policy manuals and quality assurance guidelines
- Review data reporting to ensure it meets schedules and results within expected parameters



**DHH Contract Budget Detail**

Attachment **111**  
**FY 14/15**

<b>(11) Salaries &amp; Wages</b>	<b>Hourly Rate</b>	<b>Est. Hours of Work</b>	<b>Total Salary to be Paid</b>	<b>% Requested From DHH</b>	<b>Non DHH Funds</b>	<b>Amount Requested From DHH</b>
Program Director	24.09	346	8,335	100	0	8,335
EI Consultant/Supervisor	18.31	346	6,335	100	0	6,335
Intake Service Coordinator	16.13	346	5,581	100	0	5,581
Intake Service Coordinator	16.13	346	5,581	100	0	5,581
Intake Service Coordinator	16.13	346	5,581	100	0	5,581
Data Management/Admin. Clerk	15.03	346	5,200	100	0	5,200
			0	100	0	0
			0		0	0
			0		0	0
<b>Total</b>			<b>36,613</b>		<b>0</b>	<b>36,613</b>

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

<b>(41) Related Benefits</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Social Security & Medicare	2,802	100	0	2,802
Health Insurance	4,200	100	0	4,200
Dental Insurance	300	100	0	300
Life Insurance	126	100	0	126
Long-Term Disability/AD&D	158	100	0	158
Unemployment )	529	100	0	529
			0	0
			0	0
			0	0
<b>Total</b>	<b>8,115</b>		<b>0</b>	<b>8,115</b>

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 22.164% related benefit rate.

<b>(12) Travel</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Program Director	407	100	0	407
EI Consultant/Supervisor	408	100	0	408
Intake Service Coordinator	407	100	0	407
Intake Service Coordinator	407	100	0	407
Intake Service Coordinator	407	100	0	407
Mileage Conferences & Mtgs.	100	100	0	100
			0	0
			0	0
			0	0
<b>Total</b>	<b>2,136</b>		<b>0</b>	<b>2,136</b>

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore staff will travel to 8 parishes in Region 6. Staff will also travel to conferences and meetings.

(13) Operating Services	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Rent (\$3000 per mo. x 2)	6,000	100	0	6,000
Utilities (\$494 x 2)	988	100	0	988
Telephone & Cell Phone Reimbursements -(570 x 2)	1,140	100	0	1,140
Lease (copier & postage machine) - (\$250 . x 2)	500	100	0	500
Postage - (\$312 x 2)	624	100	0	624
Equipment Maintenance (\$450 per mo. x 2)	900	100	0	900
Employee Training & Orientation (\$101 x 2)	202	100	0	202
Workers Comp (\$412 x 2)	824	100	0	824
Payroll Processing & Misc. (\$285 per mo. x 2)	570	100	0	570
Total	11,748		0	11,748

Justification

Office space and other operating expenses based upon current cost in Alexandria, Louisiana.

(14) Supplies	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Supplies (paper,pens,stationary, etc.) (\$527 x 2)	1,054	100	0	1,054
Miscellaneous (outside printing) (\$110 x 2)	220	100	0	220
		0	0	0
			0	0
			0	0
			0	0
			0	0
Total	1,274		0	1,274

Justification

Office supplies including paper, pens, folders, etc. essential for contract deliverables.

(15) Professional Services	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0	0	0
		0	0	0
			0	0
			0	0
			0	0
Total	0		0	0

Justification

Meet state audit requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0	0	0
		0	0	0
			0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Administrative Costs	6,587	100	0	6,587
			0	0
			0	0
			0	0
			0	0
			0	0
Total	6,587		0	6,587

Justification

Indirect cost for administration of contract represents 11% of contract total.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification



DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Easter Seals Louisiana FROM: 5/01/2015 TO: 06/30/2015

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	36,613	0	36,613
RELATED BENEFITS	(41)	8,115	0	8,115
TRAVEL	(12)	2,136	0	2,136
OPERATING SERVICES	(13)	11,748	0	11,748
SUPPLIES	(14)	1,274	0	1,274
PROFESSIONAL SVCS	(15)	0	0	0
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	6,587	0	6,587
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		66,473	0	66,473

Note: No data entry allowed in this item -

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					



# DHH Contract Budget Detail

Attachment 111

FY 15/16

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	24.04	2,080	50,003	100	0	50,003
EI Consultant/Supervisor	18.27	2,080	38,002	100	0	38,002
Intake Service Coordinator	16.11	2,080	33,509	100	0	33,509
Intake Service Coordinator	16.1	2,080	33,488	100	0	33,488
Intake Service Coordinator	16.1	2,080	33,488	100	0	33,488
Data Management/Admin. Clerk	15	2,080	31,200	100	0	31,200
			0	100	0	0
			0		0	0
			0		0	0
<b>Total</b>			<b>219,690</b>		<b>0</b>	<b>219,690</b>

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Social Security & Medicare	16,807	100	0	16,807
Health Insurance	25,200	100	0	25,200
Dental Insurance	1,800	100	0	1,800
Life Insurance	756	100	0	756
Long-Term Disability/AD&D	948	100	0	948
Unemployment )	3,181	100	0	3,181
			0	0
			0	0
			0	0
<b>Total</b>	<b>48,692</b>		<b>0</b>	<b>48,692</b>

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 22.164% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Program Director	2,442	100	0	2,442
EI Consultant/Supervisor	2,442	100	0	2,442
Intake Service Coordinator	2,442	100	0	2,442
Intake Service Coordinator	2,442	100	0	2,442
Intake Service Coordinator	2,442	100	0	2,442
Mileage Conferences & Mtgs.	600	100	0	600
			0	0
			0	0
			0	0
<b>Total</b>	<b>12,810</b>		<b>0</b>	<b>12,810</b>

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore staff will travel to 8 parishes in Region 6. Staff will also travel to conferences and meetings.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$3000 per mo. x 12)	36,000	100	0	36,000
Utilities (\$494 x 12)	5,928	100	0	5,928
Telephone & Cell Phone Reimbursements -(570 x 12)	6,840	100	0	6,840
Lease (copier & postage machine) - (\$250 . x 12	3,000	100	0	3,000
Postage - (\$312 x 12)	3,744	100	0	3,744
Equipment Maintenance (\$450 per mo. x 12)	5,400	100	0	5,400
Employee Training & Orientation (\$100.58 x 12)	1,207	100	0	1,207
Workers Comp (\$411.90 x 12)	4,943	100	0	4,943
Payroll Processing & Misc. (\$285 per mo. x 12)	3,420	100	0	3,420
<b>Total</b>	<b>70,482</b>		<b>0</b>	<b>70,482</b>

Justification

Office space and other operating expenses based upon current cost in Alexandria, Louisiana.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Supplies (paper,pens,stationary, etc.) (\$527 x 12)	6,324	100	0	6,324
Miscellaneous (outside printing) (\$110 x 12)	1,320	100	0	1,320
		0	0	0
			0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>7,644</b>		<b>0</b>	<b>7,644</b>

Justification

Office supplies including paper, pens, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Audit/Legal Fees (\$250 per mo. x 12)	3,000	100	0	3,000
		100	0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>3,000</b>		<b>0</b>	<b>3,000</b>

Justification

Meet state audit requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0	0	0
		0	0	0
			0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Administrative Costs	39,855	100	0	39,855
			0	0
			0	0
			0	0
			0	0
Total	39,855		0	39,855

Justification

Indirect cost for administration of contract represents 11% of contract total.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification



DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Easter Seals Louisiana FROM: 7/01/2015 TO: 06/30/2016

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	219,690	0	219,690
RELATED BENEFITS	(41)	48,692	0	48,692
TRAVEL	(12)	12,810	0	12,810
OPERATING SERVICES	(13)	70,482	0	70,482
SUPPLIES	(14)	7,644	0	7,644
PROFESSIONAL SVCS	(15)	3,000	0	3,000
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	39,855	0	39,855
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		402,173	0	402,173

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds  
If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					



DHH Contract Budget Detail

FY 16/17

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	24.88	2,080	51,750	100	0	51,750
EI Consultant/Supervisor	18.91	2,080	39,333	100	0	39,333
Intake Service Coordinator	16.67	2,080	34,674	100	0	34,674
Intake Service Coordinator	16.67	2,080	34,674	100	0	34,674
Intake Service Coordinator	16.67	2,080	34,674	100	0	34,674
Data Management/Admin. Clerk	15.52	2,080	32,282	100	0	32,282
			0	100	0	0
			0		0	0
			0		0	0
Total			227,387		0	227,387

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Social Security & Medicare	17,395	100	0	17,395
Health Insurance	26,082	100	0	26,082
Dental Insurance	1,860	100	0	1,860
Life Insurance	780	100	0	780
Long-Term Disability/AD&D	984	100	0	984
Unemployment )	3,288	100	0	3,288
			0	0
	1		1	0
			0	0
Total	50,390		1	50,389

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 22.16% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Program Director	2,528	100	0	2,528
EI Consultant/Supervisor	2,528	100	0	2,528
Intake Service Coordinator	2,527	100	0	2,527
Intake Service Coordinator	2,527	100	0	2,527
Intake Service Coordinator	2,527	100	0	2,527
Mileage Conferences & Mtgs.	624	100	0	624
			0	0
			0	0
			0	0
Total	13,261		0	13,261

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore staff will travel to 8 parishes in Region 6. Staff will also travel to conferences and meetings.

(13) Operating Services	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Rent (\$3105 per mo. x 12)	37,260	100	0	37,260
Utilities (\$511.58 x 12)	6,139	100	0	6,139
Telephone & Cell Phone Reimbursements -(590 x 12)	7,080	100	0	7,080
Lease (copier & postage machine) - (\$258.75 x 12)	3,105	100	0	3,105
Postage - (\$323 x 12)	3,876	100	0	3,876
Equipment Maintenance (\$465.75 per mo. x 12)	5,589	100	0	5,589
Employee Training & Orientation (\$104 x 12)	1,248	100	0	1,248
Workers Comp (\$426 x 12)	5,112	100	0	5,112
Payroll Processing & Misc. (\$295 per mo. x 12)	3,540	100	0	3,540
Total	72,949		0	72,949

Justification

Office space and other operating expenses based upon current cost in Alexandria, Louisiana.

(14) Supplies	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Supplies (paper,pens,stationary, etc.) 545.75 x 12	6,549	100	0	6,549
Miscellaneous (outside printing) (\$113.83 x 12)	1,366	100	0	1,366
		0	0	0
			0	0
			0	0
			0	0
			0	0
Total	7,915		0	7,915

Justification

Office supplies including paper, pens, folders, etc. essential for contract deliverables.

(15) Professional Services	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Audit/Legal Fees (\$258.75 per mo. x 12)	3,105	100	0	3,105
		100	0	0
			0	0
			0	0
			0	0
Total	3,105		0	3,105

Justification

Meet state audit requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0	0	0
		0	0	0
			0	0
			0	0
			0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Administrative Costs	41,251	100	0	41,251
			0	0
			0	0
			0	0
			0	0
Total	41,251		0	41,251

Justification

Indirect cost for administration of contract represents 11% of contract total.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification

### Object Detail

<b>0</b>	<b>(Enter Cat 2 name)</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
		<b>0</b>		<b>0</b>	<b>0</b>
<b>Total</b>		<b>0</b>		<b>0</b>	<b>0</b>

### Justification

DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR:  FROM:  TO:

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	227,387	0	227,387
RELATED BENEFITS	(41)	50,389	0	50,389
TRAVEL	(12)	13,261	0	13,261
OPERATING SERVICES	(13)	72,949	0	72,949
SUPPLIES	(14)	7,915	0	7,915
PROFESSIONAL SVCS	(15)	3,105	0	3,105
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	41,251	0	41,251
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		416,257	0	416,257

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds  
If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					



**DHH Contract Budget Detail**

Attachment

FY 17/18 III

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	25.74	1,734	44,633	100	0	44,633
EI Consultant/Supervisor	19.56	1,734	33,917	100	0	33,917
Intake Service Coordinator	17.25	1,734	29,912	100	0	29,912
Intake Service Coordinator	17.25	1,734	29,912	100	0	29,912
Intake Service Coordinator	17.25	1,734	29,912	100	0	29,912
Data Management/Admin. Clerk	16.06	1,734	27,848	100	0	27,848
			0	100	0	0
			0		0	0
			0		0	0
Total			196,134		0	196,134

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Social Security & Medicare	15,000	100	0	15,000
Health Insurance	22,500	100	0	22,500
Dental Insurance	1,610	100	0	1,610
Life Insurance	670	100	0	670
Long-Term Disability/AD&D	850	100	0	850
Unemployment	2,840	100	0	2,840
			0	0
			0	0
			0	0
Total	43,470		0	43,470

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 22.1632% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Program Director	2,180	100	0	2,180
EI Consultant/Supervisor	2,180	100	0	2,180
Intake Service Coordinator	2,180	100	0	2,180
Intake Service Coordinator	2,180	100	0	2,180
Intake Service Coordinator	2,180	100	0	2,180
Mileage Conferences & Mtgs.	540	100	0	540
			0	0
			0	0
			0	0
Total	11,440		0	11,440

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore staff will travel to 8 parishes in Region 6. Staff will also travel to conferences and meetings.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$3214 per mo. x 10)	32,140	100	0	32,140
Utilities (\$530 x 10)	5,300	100	0	5,300
Telephone & Cell Phone Reimbursements -(610 x 10)	6,100	100	0	6,100
Lease (copier & postage machine) - (\$268 x 10)	2,680	100	0	2,680
Postage - (\$334 x 10)	3,340	100	0	3,340
Equipment Maintenance (\$482 per mo. x 10)	4,820	100	0	4,820
Employee Training & Orientation (\$108 x 10)	1,080	100	0	1,080
Workers Comp (\$441 x 10)	4,410	100	0	4,410
Payroll Processing & Misc. (\$305 per mo. x 10)	3,050	100	0	3,050
<b>Total</b>	<b>62,920</b>		<b>0</b>	<b>62,920</b>

Justification

Office space and other operating expenses based upon current cost in Alexandria, Louisiana.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Supplies (paper,pens,stationary, etc.) (\$565 x 10)	5,650	100	0	5,650
Miscellaneous (outside printing) (\$118 x 10)	1,180	100	0	1,180
		0	0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>6,830</b>		<b>0</b>	<b>6,830</b>

Justification

Office supplies including paper, pens, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Audit/Legal Fees (\$321.40 per mo. x 10)	3,214	100	0	3,214
		100	0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>3,214</b>		<b>0</b>	<b>3,214</b>

Justification

Meet state audit requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0	0	0
		0	0	0
			0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Administrative Costs	35,641	100	0	35,641
			0	0
			0	0
			0	0
			0	0
			0	0
Total	35,641		0	35,641

Justification

Indirect cost for administration of contract represents 11% of contract total.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification



DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Easter Seals Louisiana FROM: 7/01/2017 TO: 04/30/2018

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	196,134	0	196,134
RELATED BENEFITS	(41)	43,470	0	43,470
TRAVEL	(12)	11,440	0	11,440
OPERATING SERVICES	(13)	62,920	0	62,920
SUPPLIES	(14)	6,830	0	6,830
PROFESSIONAL SVCS	(15)	3,214	0	3,214
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	35,641	0	35,641
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		359,649	0	359,649

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds  
If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					



Part C - System Point of Entry  
Sample Monthly Invoice

Agency Name:  
CFMS #:  
Contact Person:  
Address:

Phone:  
Email:

Month: \_\_\_\_\_

Vendor#: \_\_\_\_\_

Invoice #: \_\_\_\_\_

SPOE Region: \_\_\_\_\_ PROGRAM: EARLYSTEPS

Date: \_\_\_\_\_

Categories	Approved Amount	Previously Billed	Current Expenses	Balance Remaining
Personnel		\$ -	\$ -	\$
Related Benefits		-	-	
Travel		-	-	
Operating Supplies		-	-	
Supplies		-	-	
Professional Services				
Capital Assets		-	-	
Administrative		-	-	
Total		\$ -	\$ -	\$

CONTRACTOR'S CERTIFICATE

"This is to certify that the information contained on this form is true, accurate and complete and that expenditures shown above were made for the furtherance of and in conformity with the contractual agreement with DHH/OCDD."

\_\_\_\_\_  
Signature of Contractor

\_\_\_\_\_  
Date

\_\_\_\_\_  
OCDD Approval Signature

\_\_\_\_\_  
Date

225-342-0095  
Contact Phone #

## Sample SPOE Monthly Report

[illegible][illegible]

## **Attachment VI**

1. **Order of Precedence:** The contract shall, to the extent possible, be construed to give effect to all provision contained therein, however, where provisions conflict, the intent of the parties shall be determined by giving a first priority to provisions of the contract excluding the RFP and the proposal; second priority to the provision of the RFP; and third priority to the provisions of the proposal.
2. **Entire Agreement:** This contract, together with the RFP and addenda issued thereto by the Department, the proposal submitted by the contractor in response to the Department's RFP, and any exhibits specifically incorporated herein reference constitute the entire agreement between the parties with respect to the subject matter.

BOARD RESOLUTION

STATE OF LOUISIANA

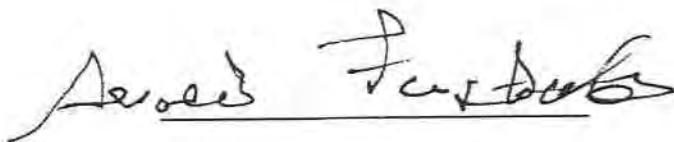
PARISH OF ORLEANS

On the 17<sup>th</sup> day of September, 2014 at a meeting of the Board of Directors of **EASTER SEALS LOUISIANA, INC.**, a corporation held in New Orleans, an incorporated municipality in the Parish of Orleans, with Quorum of the Directors present, the following business was conducted:

**"BE IT RESOLVED** that the Board of Directors of the above corporation do hereby authorize **TRACY GARNER** President/CEO and her successors in office to negotiate on terms and conditions that they may deem advisable, including contracts with the Louisiana Department of Health and Hospitals (DHH) and other State and Federal agencies on behalf of the corporation and further we do hereby give them the power to do all things necessary to implement, maintain, amend or renew said documents, contracts, leases, agreements, etc."

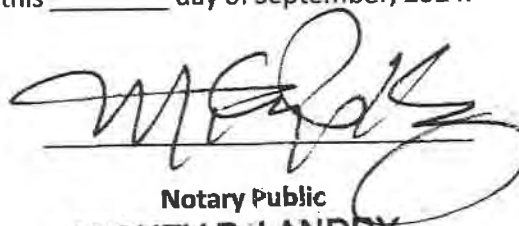
The above resolution was passed by a majority of those present and voting in accordance with the ByLaws and Articles of Incorporation.

I certify that the above and foregoing constitutes a true and correct copy of a part of the minutes of the Board of Directors of **EASTER SEALS LOUISIANA, Inc.**, held on the 17<sup>th</sup> day of September, 2014.



Secretary

Executed before me, the undersigned Notary Public, this 30 day of September, 2014.



Notary Public  
**MICKEY P. LANDRY**  
Notary Public, Bar No. 22817  
State of Louisiana, Parish of Orleans  
My Commission is issued for life.



# State of Louisiana

## DEPARTMENT OF HEALTH AND HOSPITALS Office for Citizens with Developmental Disabilities

March 25, 2015

Ms. Pamela Bartfay-Rice, Esq.  
Director  
Divisions of Administration  
Office of Contractual Review  
P.O. Box 94095  
Baton Rouge, LA 70804-9095

Dear Ms. Rice:

Please consider this justification for the Department of Health and Hospitals, Office for Citizens with Developmental Disabilities to enter in to a multi-year contract with the ten System Point of Entry Contractors selected through the RFP process:

- Region 1 – Easter Seals Louisiana (CFMS – 735114)
- Region 2 – Southeast Area Health Education Center (CFMS – 735115)
- Region 3 – Southeast Area Health Education Center (CFMS – 735268)
- Region 4 – First Steps Referral and Consulting, LLC (CFMS – 735229)
- Region 5 – First Steps Referral and Consulting, LLC (CFMS – 735210)
- Region 6 – Easter Seals Louisiana (CFMS – 735219)
- Region 7 – Families Helping Families at the Crossroads (CFMS – 735293)
- Region 8 – Easter Seals Louisiana (CFMS – 735294)
- Region 9 – Southeast Area Health Education Center (CFMS – 735292)
- Region 10 – Southeast Area Health Education Center (CFMS – 735213)

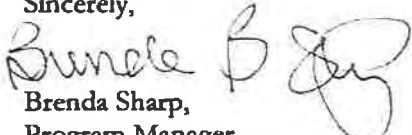
These contractors provide services for the EarlySteps system which are required by the Federal IDEA, Part C program with the US Department of Education. A multi-year contract supports the continuity of the required services: intake, initial eligibility determination, intake service coordination, as well as hosting the regional data systems for the State system for 10,000 annual referrals, and service authorizations for approximately 9300 children each year.

Funds for the first fiscal year of the contract are available and payment and performance for subsequent fiscal years shall be subject to the availability of funds.

The estimated requirements covering the period of the contract are reasonably firm and continuing and such a contract will serve the best interests of the State by encouraging effective competition or otherwise promoting economies in state procurement through the continuity of services provided over multiple years.

If further information is needed, please call (342-0095).

Sincerely,

  
Brenda Sharp,  
Program Manager



SUMMARY OF INFORMATION

CONTRACTOR NAME Easter Seals Louisiana	Amount \$ 1,244,552.00
CONTRACT DATES Effective Date 05-01-2015 Termination Date 04-30-2018	BA-22 ATTACHED <input checked="" type="checkbox"/>

Certification Requirements: (Check Applicable Items)

- ☒ 1.
- Either no employee of this agency is both competent and available to perform the services called for by the proposed contract and/or the services called for are not the type readily susceptible of being performed by persons who are employed by the State on a continuing basis.
- ☒ 2.
- The services are not available as a product of a prior or existing professional, personal contract.
- ☒ 3.
- When applicable, the requirements for consultant contracts, as provided for under R.S. 39:1503-1507, have been complied with (proper documentation should be provided).
- ☒ 4.
- The using agency has developed and fully intends to implement a written plan providing for the assignment of specific using personnel to a monitoring and liaison function. Identify name of individual of staff unit responsible for monitoring this contract:

Name Brenda Sharp, Program Manager	Phone No. (225)342-0095
Location 628 N. 4th Street P.O. Box 3117 Bin 21 Baton Rouge, LA 70821-3117	

Summary of Monitoring Plan: (This must include periodic review of specified reports, documents, exception reporting, or other indicia or performance, etc.). Additional pages may be attached if necessary.

Monitoring will be achieved by receipt of all deliverables as listed on Attachment II including the review of monthly reports submitted and reports obtained through the central data system which will be monitored by the EarlySteps Program Manager.

The ultimate use of the final product of the services: (Specify)

Identify EarlySteps eligible infants and toddlers served under the Part C system thus meeting the federal benchmark of a least 2% served statewide.

- ☒ 5.
- Respond to questions A or B on all contracts except those funded by "Other Charges" (3600 series) of Budget:  
A. What critical services will go unprovided and to whom?  
Early intervention services would not be available to children in need.  
B. How many hours will the contractor have to work? N/A
- ☒ 6.
- Completed monitoring report will be submitted to the Office of Contractual Review within 60 days after termination of contract. (For Personal, Professional, Consulting contracts exceeding \$20,000)
- ☒ 7.
- The services have not been artificially divided to as to constitute a small purchase (not exceeding \$20,000).
- ☒ 8.
- A cost-benefit analysis has been conducted which indicates that obtaining such services from the private sector is more cost-effective than providing such services the agency itself or by any agreement with another state agency and includes both a short-term and long-term analysis and is available for review.
- ☒ 9.
- The cost basis for the proposed contract is justified and reasonable.
- ☒ 10.
- A description of the specific goals and objectives, deliverables, performance measures and a plan for monitoring the services to be provided are contained in the proposed contract.

PRIOR CONTRACT INFORMATION MUST BE FILLED OUT (IF NO PRIOR CONTRACT PUT N/A)

PRIOR YEAR SERVICES PROVIDED BY (Contractor Name): Families Helping Families @ the Crossroads			
CFMS#: 730542	DHH#: 060297	EFF: 07-01-2014	TERM: 04-30-2015
AMOUNT: \$ 329,079.00	PREVIOUSLY ISSUED UNDER RFP? IF YES, DATE: <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO DATE: 06-02-2011		

YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Contains a date upon which the contract is to begin and upon which the contract will terminate.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Contains a description of the work to be performed and objectives to be met.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Contains an amount and time payment to be made.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Contains a description of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Contains a date of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. When a contract includes travel and/or other reimbursable expenses, it contains language to effect the following:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	A. Travel and other reimbursable expenses shall constitute part of the total maximum payable under the contract; (or)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	B. No more than (a certain sum) of the total maximum amount payable under this contract shall be paid or received as reimbursement for travel and other reimbursable expenses; (and)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	C. Travel expenses shall be reimbursed in accordance with Division of Administration Policy and Procedure memorandum 49 (The State General Travel Regulations).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. Contains the responsibility for payment of taxes.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	8. Contains the circumstances under which the contract can be terminated either with or without cause and contains the remedies for default.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	9. Contains a statement giving the Legislative Auditor the authority to audit records of the individual(s) or firm(s).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10. Contains an assignability clause as provided for under LAC-4:4.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	11. Budget Form BA-22, fully completed and attached to back of each contract.

## DETERMINATION OF RESPONSIBILITY

YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Had adequate financial resources for performance, or has the ability to obtain such resources as required during performance.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Has the necessary experience, organization, technical qualifications, skills and facilities or has the ability to obtain them (including probable subcontractor arrangements).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Is able to comply with the proposed or required time of delivery or performance schedule.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Has a satisfactory record of integrity, judgment and performance (contractors which are seriously delinquent in current contract performance, considering the number of contracts and the extent of delinquencies of each, shall in the absences of evidence to the contrary or compelling circumstances presumed to be unable to fulfill this agreement).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Is otherwise qualified and eligible to receive an award under applicable laws and regulations.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. If a contract for consulting services is for \$50,000 or more: The head of the using agency has prepared, signed and placed in the contract file a statement of the facts on which a determination of responsibility of offer or potential subcontractors have been filed with the statement.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. On subcontracting, it has been established that contractors recent performance history indicates acceptable subcontracting systems; or, major subcontractors have been determined by the heads of the using agency to satisfy this standard

## R.F.P. CONSULTING CONTRACTS FOR \$50,000 OR MORE; UNLESS DETERMINED EXEMPT AS PER ACT 673 of 1985, R.S. 39:1494.1 (A).

☐ Contract file attached and this includes:☐ Criteria for selection☐ Proposals☐ Pertinent Documents☐ Selection Memorandum

PROGRAM / FACILITY SIGNATURE

ASSISTANT SECRETARY OR DESIGNEE SIGNATURE

OFFICE

OCDD/EarlySteps

PHONE NUMBER

(225)342-0095

OFFICE

Office for Citizens with Developmental Disabilities

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION  
BA-22 (REV. 09/2005)

Date: 4/2/2015 Dept/Budget Unit: 09/340/2000  
Agency Name: Office for Citizens with Developmental Disabi OCR/CFMS Contract #: 735219  
Agency BA-22 #: 33 Agency Contract #: 060750

Fiscal Year for this BA-22: 2014-2015 BA-22 Start/End Dates: 05/01/15 06/30/15  
(yyyy-yy) (Start Date) (End Date)

Multi-year Contract (Yes/No): Yes If "Yes", provide contract dates:  
05/01/15 04/30/13  
(Start Date) (End Date)

Easter Seals Louisiana 72069437600  
(Contractor/Vendor Name) (Contractor/Vendor No.)

Contractor will provide System Point of Entry services with the Region 6 Parishes for Early Steps.  
(Provide a statement of "Services Provided")

Contract Amendment (Yes/No): NO Amendment Start/End Dates: \_\_\_\_\_  
(Start Date) (End Date)

Contract Cancellation (Yes/No): NO Date of Cancellation: \_\_\_\_\_

(Provide rationale for amendment or cancellation)

This information is to be provided at the Agency Level				
MEANS OF FINANCING	AMOUNT			
	Current Year	%	Total Contract	%
State General Fund	\$0	0%	\$0	0.0%
Interagency Transfers	\$0	0%	\$0	0.0%
Fees and Self Gen.	\$0	0.0%	\$0	0.0%
Statutory Dedication	\$0	0.0%	\$0	0.0%
Federal	\$66,473	100%	\$1,244,552	100.0%
TOTALS	\$66,473	100%	\$1,244,552	100.0%

\*Specify Source (i.e., grant name, fund name, IAT sending agency and revenue source, fee type and source, etc.)

Are revenue collections for funds utilized above in line with budgeted amounts? (Yes/No)

If not, explain.

This information is to be provided at the Agency Level	
Name of Object Code/Category:	Miscellaneous Charges
Object Code/Category Number:	3655
Amount Budgeted:	\$15,496,069
Amount Previously Obligated:	\$6,425,169
Amount this BA-22:	\$66,473
Balance:	\$9,004,427

The approval of the aforementioned contract will not cause this agency to be placed in an Object Category deficit.

Agency Contact: Clent Goff  
Name: Clent Goff  
Title: Program Manager 1  
Phone: (225) 342-0943

Reviewed/Approved By: Geetha Kumar  
Name: Geetha Kumar  
Title: Program Manager  
Phone: (225) 342-8725

FOR AGENCY USE ONLY

AGENCY	PROGRAM	ACTIVITY	ORGANIZ.	OBJECT	REPT CAT	AMOUNT
340	2000		8612	3655	8107	\$66,473.00

<b>AMENDMENT TO</b>		Amendment #: <u>1</u>
<b>AGREEMENT BETWEEN STATE OF LOUISIANA</b>		LAGOV#: <u>2000122759</u>
<b>LOUISIANA DEPARTMENT OF HEALTH</b>		LDH #: <u>060751</u>
<b>Office for Citizens with Developmental Disabilities</b>		
(Regional/ Program/ Facility)	<u>EarlySteps, Louisiana's Early Intervention System</u>	Original Contract Amt <u>\$ 1,958,681.00</u>
<b>AND</b>		Original Contract Begin Date <u>05-01-2015</u>
<u>Easter Seals Louisiana</u>		Original Contract End Date <u>04-30-2018</u>
Contractor Name		RFP Number: <u>305PUR-DHHRFP-SPOE</u>

**AMENDMENT PROVISIONS**

Change Contract From: From Maximum Amount: \$ 1,958,681.00 Current Contract Term: 05/01/2015 - 04/30/2018

CF-1 Block 13 Maximum Contract Amount \$1,958,681 FY15 \$104,292, FY16 \$630,180, FY17 \$655,385, FY18 \$568,824

Block 14 Terms of Payment: See Attachment III: Budget

Change Contract To: To Maximum Amount: \$ 3,322,070.00 Changed Contract Term: 5/01/2015 - 4/30/2020

CF-1 Block 13 Maximum Contract Amount \$3,322,070 FY15 \$104,292, FY16 \$630,180, FY17 \$655,385, FY18 \$568,824 (10 month), FY 18 \$113,605 (2 month), FY19 \$680,960, FY20 \$568,824

Block 14 Terms of Payment: See Attachment III: Budget

Justifications for amendment:

The current contract, which was executed via RFP# 305PUR-DHHRFP-SPOE-2014-OCDD on May 1, 2015, expires on April 30, 2018. The RFP included an option to extend the resulting contract from 3 to 5 years. Since 2008, the RFP has been issued 3 times with no other qualified applicants competing. LDH/OCDD is satisfied with the performance of Easter Seals of Louisiana in meeting all deliverables and would like to exercise the option to extend the contract the allowable 24 months, in the Region 8 parishes for EarlySteps, the Louisiana's Early Intervention program.

This Amendment Becomes Effective: 05-01-2018

This amendment contains or has attached hereto all revised terms and conditions agreed upon by contracting parties.

IN WITNESS THEREOF, this amendment is signed and entered into on the date indicated below.

<b>CONTRACTOR</b>	<b>STATE OF LOUISIANA</b>
<u>Easter Seals Louisiana</u>	<b>LOUISIANA DEPARTMENT OF HEALTH</b>
	<b>Secretary, Louisiana Department of Health or Designee</b>
<b>CONTRACTOR SIGNATURE</b>	<b>SIGNATURE</b>
<b>DATE</b>	<b>DATE</b>
PRINT NAME <u>Tracy Garner</u>	NAME <u>Mark A. Thomas</u>
CONTRACTOR TITLE <u>President/CEO</u>	TITLE <u>Assistant Secretary</u>
	OFFICE <u>Office for Citizens with Developmental Disabilities</u>
	<b>PROGRAM SIGNATURE</b>
	<b>DATE</b>
	NAME

LDH Contract Budget Detail

Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	32.75	346	11,332	100	0	11,332
EI Consultant/Supervisor	23.08	346	7,986	100	0	7,986
Intake Coordinator	18.72	346	6,477	100	0	6,477
Intake Coordinator	18.72	346	6,477	100	0	6,477
Intake Coordinator	18.71	346	6,474	100	0	6,474
Intake Coordinator	18.71	346	6,474	100	0	6,474
Intake Coordinator	18.71	346	6,474	100	0	6,474
Data Management	19.34	346	6,692	100	0	6,692
Admn Clerk	15.59	346	5,394	100	0	5,394
Total			63,780		0	63,780

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA	4,890	100	0	4,890
Health Insurance	6,814	100	0	6,814
Dental Insurance	486	100	0	486
Life Insurance	198	100	0	198
Long-Term Disability/AD&D	260	100	0	260
Unemployment	926	100	0	926
			0	0
Total	13,574		0	13,574

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 21.283% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Program Director	772	100	0	772
EI Consultant/Supervisor	773	100	0	773
Intake Coordinator	773	100	0	773
Intake Coordinator	773	100	0	773
Intake Coordinator	773	100	0	773
Intake Coordinator	773	100	0	773
Intake Coordinator	773	100	0	773
Mileage Conferences & Meetings	306	100	0	306
			0	0
Total	5,716		0	5,716

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 12 parishes in Region 8.



<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$2974x 2)	5,948	100	0	5,948
Utilities (\$617x 2)	1,234	100	0	1,234
Telephone & Cell phone (\$893x 2)	1,786	100	0	1,786
Workers Comp (\$712x 2)	1,424	100	0	1,424
Lease (Copier & Postage machine) (\$856x 2)	1,712	100	0	1,712
Postage (\$541x 2)	1,082	100	0	1,082
Equipment Maintenance (\$505x 2)	1,010	100	0	1,010
Employee Training & Orientation (\$234x 2)	468	100	0	468
Payroll Processing & Misc (\$649x 2)	1,298	100	0	1,298
<b>Total</b>	<b>15,962</b>		<b>0</b>	<b>15,962</b>

Justification

Office space and operating expenses based upon current property costs in Monroe, LA

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Supplies (paper, pens, stationary, etc) (\$901x 2)	1,802	100	0	1,802
Miscellaneous (outside printing) (\$324x 2)	648	100	0	648
			0	0
			0	0
			0	0
<b>Total</b>	<b>2,450</b>		<b>0</b>	<b>2,450</b>

Justification

Office supplies including paper, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Audit/Legal (\$432.60x2)	865	100	0	865
			0	0
			0	0
			0	0
<b>Total</b>	<b>865</b>		<b>0</b>	<b>865</b>

Justification

Meet state audit requirements

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Total				

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Admn Cost	11,258	100	0	11,258
			0	0
			0	0
			0	0
			0	0
Total	11,258		0	11,258

Justification

Indirect costs for administration of contract represents 11% of contract total

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Total					

Justification



LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Easter Seals Louisiana Reg 8 FROM: 5/1/18 TO: 6/30/18

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	63,780	0	63,780
RELATED BENEFITS	(41)	13,574	0	13,574
TRAVEL	(12)	5,716	0	5,716
OPERATING SERVICES	(13)	15,962	0	15,962
SUPPLIES	(14)	2,450	0	2,450
PROFESSIONAL SVCS	(15)	865	0	865
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	11,258	0	11,258
(Enter Cat 1 name)	(0)			
(Enter Cat 2 name)	(0)			
TOTAL COST		113,605	0	113,605

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	32.75	2,080	68,120	100	0	68,120
EI Consultant/Supervisor	23.08	2,080	48,006	100	0	48,006
Intake Coordinator	18.72	2,080	38,938	100	0	38,938
Intake Coordinator	18.72	2,080	38,938	100	0	38,938
Intake Coordinator	18.71	2,080	38,917	100	0	38,917
Intake Coordinator	18.71	2,080	38,917	100	0	38,917
Intake Coordinator	18.71	2,080	38,917	100	0	38,917
Data Management	19.34	2,080	40,227	100	0	40,227
Admn Clerk	15.59	2,080	32,427	100	0	32,427
Total			383,407		0	383,407

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA	29,340	100	0	29,340
Health Insurance	40,884	100	0	40,884
Dental Insurance	2,916	100	0	2,916
Life Insurance	1,188	100	0	1,188
Long-Term Disability/AD&D	1,560	100	0	1,560
Unemployment	5,555	100	0	5,555
			0	0
Total	81,443		0	81,443

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 21.242% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Program Director	4,457	100	0	4,457
EI Consultant/Supervisor	4,458	100	0	4,458
Intake Coordinator	4,457	100	0	4,457
Intake Coordinator	4,457	100	0	4,457
Intake Coordinator	4,457	100	0	4,457
Intake Coordinator	4,457	100	0	4,457
Intake Coordinator	4,457	100	0	4,457
Mileage Conferences & Meetings	1,764	100	0	1,764
			0	0
Total	32,964		0	32,964

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 12 parishes in Region 8.



<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$2974x12)	35,688	100	0	35,688
Utilities (\$617x12)	7,404	100	0	7,404
Telephone & Cell phone (\$893x12)	10,716	100	0	10,716
Workers Comp (\$712x12)	8,544	100	0	8,544
Lease (Copier & Postage machine) (\$856x12)	10,272	100	0	10,272
Postage (\$541x12)	6,492	100	0	6,492
Equipment Maintenance (\$505x12)	6,060	100	0	6,060
Employee Training & Orientation (\$234x12)	2,808	100	0	2,808
Payroll Processing & Misc (\$649x12)	7,788	100	0	7,788
<b>Total</b>	<b>95,772</b>		<b>0</b>	<b>95,772</b>

Justification

Office space and operating expenses based upon current property costs in Monroe, LA

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Supplies (paper, pens, stationary, etc) (\$901x12)	10,812	100	0	10,812
Miscellaneous (outside printing) (\$324x12)	3,888	100	0	3,888
			0	0
<b>Total</b>	<b>14,700</b>		<b>0</b>	<b>14,700</b>

Justification

Office supplies including paper, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Audit/Legal (\$432.60x12)	5,191	100	0	5,191
			0	0
<b>Total</b>	<b>5,191</b>		<b>0</b>	<b>5,191</b>

Justification

Meet state audit requirements

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Total				

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Admn Cost	67,483	100	0	67,483
			0	0
			0	0
			0	0
			0	0
Total	67,483		0	67,483

Justification

Indirect costs for administration of contract represents 11% of contract total

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Total					

Justification



**LDH CONTRACT BUDGET**  
**SUMMARY BUDGET FOR THIS PERIOD**

**Attachment**

**CONTRACTOR:** Easter Seals Louisiana Reg 8      **FROM:** 7/1/18      **TO:** 6/30/19

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	383,407	0	383,407
RELATED BENEFITS	(41)	81,443	0	81,443
TRAVEL	(12)	32,964	0	32,964
OPERATING SERVICES	(13)	95,772	0	95,772
SUPPLIES	(14)	14,700	0	14,700
PROFESSIONAL SVCS	(15)	5,191	0	5,191
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	67,483	0	67,483
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		680,960	0	680,960

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

**Fund Distribution Section**

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

LDH Contract Budget Detail

Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	32.75	1,734	56,789	100	0	56,789
EI Consultant/Supervisor	23.08	1,734	40,021	100	0	40,021
Intake Coordinator	18.72	1,734	32,460	100	0	32,460
Intake Coordinator	18.72	1,734	32,460	100	0	32,460
Intake Coordinator	18.71	1,734	32,443	100	0	32,443
Intake Coordinator	18.71	1,734	32,443	100	0	32,443
Intake Coordinator	18.71	1,734	32,443	100	0	32,443
Data Management	19.34	1,734	33,536	100	0	33,536
Admn Clerk	15.59	1,734	27,033	100	0	27,033
Total			319,628		0	319,628

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA	24,450	100	0	24,450
Health Insurance	34,070	100	0	34,070
Dental Insurance	2,430	100	0	2,430
Life Insurance	990	100	0	990
Long-Term Disability/AD&D	1,300	100	0	1,300
Unemployment	4,630	100	0	4,630
			0	0
Total	67,870		0	67,870

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 21.234% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Program Director	3,862	100	0	3,862
EI Consultant/Supervisor	3,863	100	0	3,863
Intake Coordinator	3,863	100	0	3,863
Intake Coordinator	3,863	100	0	3,863
Intake Coordinator	3,863	100	0	3,863
Intake Coordinator	3,863	100	0	3,863
Intake Coordinator	3,863	100	0	3,863
Mileage Conferences & Meetings	1,530	100	0	1,530
			0	0
Total	28,570		0	28,570

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 12 parishes in Region 8.



<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$2974x10)	29,740	100	0	29,740
Utilities (\$617x10)	6,170	100	0	6,170
Telephone & Cell phone (\$893x10)	8,930	100	0	8,930
Workers Comp (\$712x10)	7,120	100	0	7,120
Lease (Copier & Postage machine) (\$856x10)	8,560	100	0	8,560
Postage (\$541x10)	5,410	100	0	5,410
Equipment Maintenance (\$505x10)	5,050	100	0	5,050
Employee Training & Orientation (\$234x10)	2,340	100	0	2,340
Payroll Processing & Misc (\$649x10)	6,490	100	0	6,490
<b>Total</b>	<b>79,810</b>		<b>0</b>	<b>79,810</b>

Justification

Office space and operating expenses based upon current property costs in Monroe, LA

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Supplies (paper, pens, stationary, etc) (\$901x10)	9,010	100	0	9,010
Miscellaneous (outside printing) (\$324x10)	3,240	100	0	3,240
			0	0
<b>Total</b>	<b>12,250</b>		<b>0</b>	<b>12,250</b>

Justification

Office supplies including paper, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Audit/Legal (\$432.60x100	4,326	100	0	4,326
			0	0
<b>Total</b>	<b>4,326</b>		<b>0</b>	<b>4,326</b>

Justification

Meet state audit requirements





LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Easter Seals Louisiana Reg 8 FROM: 7/1/19 TO: 4/30/20

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	319,628	0	319,628
RELATED BENEFITS	(41)	67,870	0	67,870
TRAVEL	(12)	28,570	0	28,570
OPERATING SERVICES	(13)	79,810	0	79,810
SUPPLIES	(14)	12,250	0	12,250
PROFESSIONAL SVCS	(15)	4,326	0	4,326
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	56,370	0	56,370
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		568,824	0	568,824

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH - CF - 1  
Revised: 2011-06

**CONTRACT BETWEEN STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS**

CFMS: 735294

DHH: 060751

**Office for Citizens with Developmental Disabilities**

**Agency # 340**

**EarlySteps, Louisiana's Early Intervention System**

**AND**

**Easter Seals Louisiana**

**FOR**

☐ Personal Services ☐ Professional Services ☐ Consulting Services ☒ Social Services

1) <b>Contractor (Legal Name if Corporation)</b> Easter Seals Louisiana	5) <b>Federal Employer Tax ID# or Social Security #</b> 72069437600 (Must be 11 Digits)
2) <b>Street Address</b> 1010 Common Street, Suite 2000	6) <b>Parish(es) Served</b> 11,,18,21,25,31,33,34,37,42,54,56,62
<b>City</b> New Orleans	<b>State</b> LA
<b>Zip Code</b> 70112	7) <b>License or Certification #</b> NA
3) <b>Telephone Number</b> (504) 523-7325	8) <b>Contractor Status</b>
4) <b>Mailing Address (if different)</b>	Subrecipient: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
	Corporation: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	For Profit: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
	Publicly Traded: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>City</b>	8a) <b>CFDA#(Federal Grant #)</b>
<b>State</b>	84.181A
<b>Zip Code</b>	

9) **Brief Description Of Services To Be Provided:**

Contractor will provide System Point of Entry (SPOE) services with the Region 8 parishes for EarlySteps, Louisiana's Early Intervention System and its eligible infants & toddler from birth to three as regulated under Part C of the Individuals with Disabilities Education Improvement Act (IDEA). Contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and supporting the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family. The contractor will maintain electronic and hard copy paper files of the early intervention records. Contractor shall perform work in accordance with Attachment II: Statement of Work.

10) <b>Effective Date</b> 05-01-2015	11) <b>Termination Date</b> 04-30-2018
12) This contract may be terminated by either party upon giving thirty (30) days advance written notice to the other party with or without cause but in no case shall continue beyond the specified termination date.	
13) <b>Maximum Contract Amount</b> \$ 1,958,681.00 14/15-104,292 15/16-630,180 16/17-655,385 17/18 - 568,824	

14) **Terms of Payment**

If progress and/or completion of services are provided to the satisfaction of the initiating Office/Facility, payments are to be made as follows:  
Fiscal will pay invoices within (20) days after receipt.

Travel will be reimbursed in accordance with PPM 49.

Authorization for payment will be made upon submission of deliverables summarized within monthly report and itemized invoices after approval from the Program Manager. Contractor will be paid on a cost reimbursement basis in accordance with attached budget.

Contractor obligated to submit final invoices to Agency within fifteen (15) days after termination of contract.

<b>PAYMENT WILL BE MADE ONLY UPON APPROVAL OF:</b>	<b>First Name</b> Brenda	<b>Last Name</b> Sharp
	<b>Title</b> Program Manager	<b>Phone Number</b> (225) 342-0095

15) **Special or Additional Provisions which are incorporated herein, if any (IF NECESSARY, ATTACH SEPARATE SHEET AND REFERENCE):**

Attachment I: HIPAA Addendum  
Attachment II: Statement of Work  
Attachment III Budget  
Attachment IV: Monthly Invoice  
Attachment V: SPOE Monthly Report  
Attachment VI: Order of Precedence

Exhibit I: Board Resolution  
Exhibit II: Multi Year Letter



**During the performance of this contract, the Contractor hereby agrees to the following terms and conditions:**

1. Contractor hereby agrees to adhere as applicable to the mandates dictated by Titles VI and VII of the Civil Rights Act of 1964, as amended; the Vietnam Era Veterans' Readjustment Assistance Act of 1974; Americans with Disabilities Act of 1990 as amended; the Rehabilitation Act of 1973 as amended; Sec. 202 of Executive Order 11246 as amended, and all applicable requirements imposed by or pursuant to the regulations of the U. S. Department of Health and Human Services. Contractor agrees not to discriminate in the rendering of services to and/or employment of individuals because of race, color, religion, sex, age, national origin, handicap, political beliefs, disabled veteran, veteran status, or any other non-merit factor.
2. Contractor shall abide by the laws and regulations concerning confidentiality which safeguard information and the patient/client confidentiality. Information obtained shall not be used in any manner except as necessary for the proper discharge of Contractor's obligations. (The Contractor shall establish, subject to review and approval of the Department, confidentiality rules and facility access procedures.)
3. The State Legislative Auditor, Office of the Governor, Division of Administration, and Department Auditors or those designated by the Department shall have the option of auditing all accounts pertaining to this contract during the contract and for a three year period following final payment. Contractor grants to the State of Louisiana, through the Office of the Legislative Auditor, Department of Health and Hospitals, and Inspector General's Office, Federal Government and/or other such officially designated body the right to inspect and review all books and records pertaining to services rendered under this contract, and further agrees to guidelines for fiscal administration as may be promulgated by the Department. Records will be made available during normal working hours.  
  
Contractor shall comply with federal and state laws and/or DHH Policy requiring an audit of the Contractor's operation as a whole or of specific program activities. Audit reports shall be sent within thirty (30) days after the completion of the audit, but no later than six (6) months after the end of the audit period. If an audit is performed within the contract period, for any period, four (4) copies of the audit report shall be sent to the Department of Health and Hospitals, Attention: **Division of Fiscal Management, P.O. Box 91117, Baton Rouge, LA 70821-3797** and one (1) copy of the audit shall be sent to the **originating DHH Office**.
4. Contractor agrees to retain all books, records and other documents relevant to the contract and funds expended thereunder for at least four (4) years after final payment or as prescribed in 45 CFR 74.53 (b) whichever is longer. Contractor shall make available to the Department such records within thirty (30) days of the Department's written request and shall deliver such records to the Department's central office in Baton Rouge, Louisiana, all without expense to the Department. Contractor shall allow the Department to inspect, audit or copy records at the contractor's site, without expense to the Department.
5. Contractor shall not assign any interest in this contract and shall not transfer any interest in the same (whether by assignment or novation), without written consent of the Department thereto, provided, however, that claims for money due or to become due to Contractor from the Department under this contract may be assigned to a bank, trust company or other financial institution without advanced approval. Notice of any such assignment or transfer shall be promptly furnished to the Department and the Division of Administration, Office of Contractual Review.
6. Contractor hereby agrees that the responsibility for payment of taxes from the funds received under this contract shall be Contractor's. The contractor assumes responsibility for its personnel providing services hereunder and shall make all deductions for withholding taxes, and contributions for unemployment compensation funds.
7. Contractor shall obtain and maintain during the contract term all necessary insurance including automobile insurance, workers' compensation insurance, and general liability insurance. The required insurances shall protect the Contractor, the Department of Health and Hospitals, and the State of Louisiana from all claims related to Contractor's performance of this contract. Certificates of Insurance shall be filed with the Department for approval. Said policies shall not be canceled, permitted to expire, or be changed without thirty (30) days advance written notice to the Department. Commercial General Liability Insurance shall provide protection during the performance of work covered by the contract from claims or damages for personal injury, including accidental death, as well as claims for property damages, with combined single limits prescribed by the Department.
8. In cases where travel and related expenses are required to be identified separate from the fee for services, such costs shall be in accordance with State Travel Regulations. The contract contains a maximum compensation which shall be inclusive of all charges including fees and travel expenses.
9. No funds provided herein shall be used to urge any elector to vote for or against any candidate or proposition on an election ballot nor shall such funds be used to lobby for or against any proposition or matter having the effect of law being considered by the legislature or any local governing authority. This provision shall not prevent the normal dissemination of factual information relative to a proposition or any election ballot or a proposition or matter having the effect of law being considered by the legislature or any local governing authority. Contracts with individuals shall be exempt from this provision.
10. Should contractor become an employee of the classified or unclassified service of the State of Louisiana during the effective period of the contract, Contractor must notify his/her appointing authority of any existing contract with State of Louisiana and notify the contracting office of any additional state employment. This is applicable only to contracts with individuals.

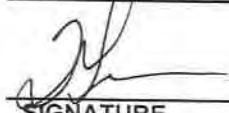
11. All non-third party software and source code, records, reports, documents and other material delivered or transmitted to Contractor by State shall remain the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract. All non-third party software and source code, records, reports, documents, or other material related to this contract and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract.
12. Contractor shall not enter into any subcontract for work or services contemplated under this contract without obtaining prior written approval of the Department. Any subcontracts approved by the Department shall be subject to conditions and provisions as the Department may deem necessary; provided, however, that notwithstanding the foregoing, unless otherwise provided in this contract, such prior written approval shall not be required for the purchase by the contractor of supplies and services which are incidental but necessary for the performance of the work required under this contract. No subcontract shall relieve the Contractor of the responsibility for the performance of contractual obligations described herein.
13. No person and no entity providing services pursuant to this contract on behalf of contractor or any subcontractor is prohibited from providing such services by the provisions of R.S. 42:1113 as amended in the 2008 Regular Session of the Louisiana Legislature.
14. No claim for services furnished or requested for reimbursement by Contractor, not provided for in this contract, shall be allowed by the Department. In the event the Department determines that certain costs which have been reimbursed to Contractor pursuant to this or previous contracts are not allowable, the Department shall have the right to set off and withhold said amounts from any amount due the Contractor under this contract for costs that are allowable.
15. This contract is subject to and conditioned upon the availability and appropriation of Federal and/or State funds; and no liability or obligation for payment will develop between the parties until the contract has been approved by required authorities of the Department; and, if contract exceeds \$20,000, the Director of the Office of Contractual Review, Division of Administration in accordance with La. R.S. 39:1502..
16. The continuation of this contract is contingent upon the appropriation of funds from the legislature to fulfill the requirements of the contract. If the Legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds are not appropriated.
17. Any alteration, variation, modification, or waiver of provisions of this contract shall be valid only when reduced to writing, as an amendment duly signed, and approved by required authorities of the Department; and, if contract exceeds \$20,000, approved by the Director of the Office of Contractual Review, Division of Administration. Budget revisions approved by both parties in cost reimbursement contracts do not require an amendment if the revision only involves the realignment of monies between originally approved cost categories.
18. Any contract disputes will be interpreted under applicable Louisiana laws and regulations in Louisiana administrative tribunals or district courts as appropriate.
19. Contractor will warrant all materials, products and/or services produced hereunder will not infringe upon or violate any patent, copyright, trade secret, or other proprietary right of any third party. In the event of any such claim by any third party against DHH, the Department shall promptly notify Contractor in writing and Contractor shall defend such claim in DHH's name, but at Contractor's expense and shall indemnify and hold harmless DHH against any loss, expense or liability arising out of such claim, whether or not such claim is successful. This provision is not applicable to contracts with physicians, psychiatrists, psychologists or other allied health providers solely for medical services.
20. Any equipment purchased under this contract remains the property of the Contractor for the period of this contract and future continuing contracts for the provision of the same services. Contractor must submit vendor invoice with reimbursement request. For the purpose of this contract, equipment is defined as any tangible, durable property having a useful life of at least (1) year and acquisition cost of \$1000.00 or more. The contractor has the responsibility to submit to the Contract Monitor an inventory list of DHH equipment items when acquired under the contract and any additions to the listing as they occur. Contractor will submit an updated, complete inventory list on a quarterly basis to the Contract Monitor. Contractor agrees that upon termination of contracted services, the equipment purchased under this contract reverts to the Department. Contractor agrees to deliver any such equipment to the Department within 30 days of termination of services.
21. Contractor agrees to protect, indemnify and hold harmless the State of Louisiana, DHH, from all claims for damages, costs, expenses and attorney fees arising in contract or tort from this contract or from any acts or omissions of Contractor's agents, employees, officers or clients, including premises liability and including any claim based on any theory of strict liability. This provision does not apply to actions or omissions for which LA R.S. 40:1299.39 provides malpractice coverage to the contractor, nor claims related to treatment and performance of evaluations of persons when such persons cause harm to third parties (R.S. 13:5108.1(E)). Further it does not apply to premises liability when the services are being performed on premises owned and operated by DHH.

22. Any provision of this contract is severable if that provision is in violation of the laws of the State of Louisiana or the United States, or becomes inoperative due to changes in State and Federal law, or applicable State or Federal regulations.

23. Contractor agrees that the current contract supersedes all previous contracts, negotiations, and all other communications between the parties with respect to the subject matter of the current contract.

**THIS CONTRACT CONTAINS OR HAS ATTACHED HERETO ALL THE TERMS AND CONDITIONS AGREED UPON BY THE CONTRACTING PARTIES. IN WITNESS THEREOF, THIS CONTRACT IS SIGNED ON THE DATE INDICATED BELOW.**

Easter Seals Louisiana



SIGNATURE

3/6/15  
DATE

Tracy Garner

NAME

President/CEO

TITLE

STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS

SIGNATURE

DATE

Kathy Kliebert

NAME

Secretary, Department of Health and Hospital or Designee

TITLE

EarlySteps, Louisiana's Early Intervention System

SIGNATURE

DATE

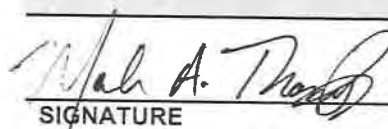
Brenda Sharp

NAME

Program Manager

TITLE

Office for Citizens with Developmental Disabilities



SIGNATURE

5-15-15  
DATE

Mark A. Thomas

NAME

Assistant Secretary

TITLE

## HIPAA Business Associate Addendum

This HIPAA Business Associate Addendum is hereby made a part of this contract in its entirety as Attachment \_\_\_\_\_ to the contract.

1. The Louisiana Department of Health and Hospitals ("DHH") is a Covered Entity, as that term is defined herein, because it functions as a health plan and as a health care provider that transmits health information in electronic form.
2. Contractor is a Business Associate of DHH, as that term is defined herein, because contractor either: (a) creates, receives, maintains, or transmits PHI for or on behalf of DHH; or (b) provides legal, actuarial, accounting, consulting, data aggregation, management, administrative, accreditation, or financial services for DHH involving the disclosure of PHI.
3. Definitions: As used in this addendum –
  - A. The term "HIPAA Rules" refers to the federal regulations known as the HIPAA Privacy, Security, Enforcement, and Breach Notification Rules, found at 45 C.F.R. Parts 160 and 164, which were originally promulgated by the U. S. Department of Health and Human Services (DHHS) pursuant to the Health Insurance Portability and Accountability Act ("HIPAA") of 1996 and were subsequently amended pursuant to the Health Information Technology for Economic and Clinical Health ("HITECH") Act of the American Recovery and Reinvestment Act of 2009.
  - B. The terms "Business Associate", "Covered Entity", "disclosure", "electronic protected health information" ("electronic PHI"), "health care provider", "health information", "health plan", "protected health information" ("PHI"), "subcontractor", and "use" have the same meaning as set forth in 45 C.F.R. § 160.103.
  - C. The term "security incident" has the same meaning as set forth in 45 C.F.R. § 164.304.
  - D. The terms "breach" and "unsecured protected health information" ("unsecured PHI") have the same meaning as set forth in 45 C.F.R. § 164.402.
4. Contractor and its agents, employees and subcontractors shall comply with all applicable requirements of the HIPAA Rules and shall maintain the confidentiality of all PHI obtained by them pursuant to this contract and addendum as required by the HIPAA Rules and by this contract and addendum.
5. Contractor shall use or disclose PHI solely: (a) for meeting its obligations under the contract; or (b) as required by law, rule or regulation (including the HIPAA Rules) or as otherwise required or permitted by this contract and addendum.
6. Contractor shall implement and utilize all appropriate safeguards to prevent any use or disclosure of PHI not required or permitted by this contract and addendum, including administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the electronic protected health information that it creates, receives, maintains, or transmits on behalf of DHH.
7. In accordance with 45 C.F.R. § 164.502(e)(1)(ii) and (if applicable) § 164.308(b)(2), contractor shall ensure that any agents, employees, subcontractors or others that create, receive, maintain, or transmit PHI on behalf of contractor agree to the same restrictions, conditions and requirements that apply to contractor with respect to such information, and it shall ensure that they implement reasonable and appropriate safeguards to protect such information. Contractor shall take all reasonable steps to ensure that its agents', employees' or subcontractors' actions or omissions do not cause contractor to violate this contract and addendum.
8. Contractor shall, within three (3) days of becoming aware of any use or disclosure of PHI, other than as permitted by this contract and addendum, report such disclosure in writing to the person(s) named in section 14 (Terms of Payment), page 1 of the CF-1. Disclosures which must be reported by contractor include, but are not limited to, any security incident, any breach of unsecured PHI, and any "breach of the security system" as defined in the Louisiana Database Security Breach Notification Law, La.R.S. 51:3071 *et seq.* At the option of DHH, any harm or damage resulting from any use or disclosure which violates this contract and addendum shall be mitigated, to the extent practicable, either: (a) by contractor at its own expense; or (b) by DHH, in which case contractor shall reimburse DHH for all expenses that DHH is required to incur in undertaking such mitigation activities.
9. To the extent that contractor is to carry out one or more of DHH's obligations under 45 C.F.R. Part 164, Subpart E, contractor shall comply with the requirements of Subpart E that apply to DHH in the performance of such obligation(s).
10. Contractor shall make available such information in its possession which is required for DHH to provide an accounting of disclosures in accordance with 45 CFR § 164.528. In the event that a request for accounting is made directly to contractor, contractor shall forward such request to DHH within two (2) days of such receipt. Contractor shall implement an appropriate record keeping process to enable it to comply with the requirements of this provision. Contractor shall maintain data on all disclosures of PHI for which accounting is required by 45 CFR § 164.528 for at least six (6) years after the date of the last such disclosure.
11. Contractor shall make PHI available to DHH upon request in accordance with 45 CFR § 164.524.
12. Contractor shall make PHI available to DHH upon request for amendment and shall incorporate any amendments to PHI in accordance with 45 CFR § 164.526.
13. Contractor shall make its internal practices, books, and records relating to the use and disclosure of PHI received from or created or received by contractor on behalf of DHH available to the Secretary of the U. S. DHHS for purposes of determining DHH's compliance with the HIPAA Rules.
14. Contractor shall indemnify and hold DHH harmless from and against any and all liabilities, claims for damages, costs, expenses and attorneys' fees resulting from any violation of this addendum by contractor or by its agents, employees or subcontractors, without regard to any limitation or exclusion of damages provision otherwise set forth in the contract.
15. The parties agree that the legal relationship between DHH and contractor is strictly an independent contractor relationship. Nothing in this contract and addendum shall be deemed to create a joint venture, agency, partnership, or employer-employee relationship between DHH and contractor.
16. Notwithstanding any other provision of the contract, DHH shall have the right to terminate the contract immediately if DHH determines that contractor has violated any provision of the HIPAA Rules or any material term of this addendum.
17. At the termination of the contract, or upon request of DHH, whichever occurs first, contractor shall return or destroy (at the option of DHH) all PHI received or created by contractor that contractor still maintains in any form and retain no copies of such information; or if such return or destruction is not feasible, contractor shall extend the confidentiality protections of the contract to the information and limit further uses and disclosure to those purposes that make the return or destruction of the information infeasible.



## ATTACHMENT II

### Statement of Work

#### **GOAL/PURPOSE**

The contractor will provide System Point of Entry services to infants and toddlers (birth to three years old) who have developmental delays or diagnosed medical conditions likely to result in developmental delays in accordance with the Individuals with Disabilities Education Improvement Act (IDEA). The contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family in EarlySteps, Louisiana's IDEA Part C system.

#### **Deliverable 1**

The contractor shall provide qualified and trained Intake Support Coordinators to provide the required services outlined below and to function as the EarlySteps initial point of contact for the designated region.

**Deliverable 1.1:** Contractor will receive referrals from a parent, family member, physician, teacher, service providers, agencies, etc. Contractor will respond to each referral within specified timelines, and the following services will be offered: intake coordination via face-to-face interview and/or telephone contact, screening of the child, review of referral information and concerns, access of other health or evaluation information. The contractor must conduct the face-to-face interview with the family in their natural environment unless otherwise arranged with the family and with documentation that supports the family's decision.

**Deliverable 1.2:** Contractor will ensure that completion of the initial face-to-face interview with the family will include providing the following information: introduction of the family to the EarlySteps system and providing to the family, in the family's primary language or other mode of communication (including in writing), their procedural safeguards and their right to due process under IDEA-Part C in 34 CFR 303.400-438 related to intake and eligibility procedures.

**Deliverable 1.3:** Contractor will receive informed written consent from the parent/legal guardian to participate in the EarlySteps system in order to proceed with the intake process, eligibility process, accessing of information requests and initial IFSP development.

**Deliverable 1.4:** Contractor will request and document receipt of information from appropriate health, medical, educational, and other community services providers with parental consent.

**Outcome 1.5:** Contractor will complete the family interview and developmental screening of each referred child using the Ages and Stages Questionnaire or other tool approved by EarlySteps for children referred for developmental delay.

**Deliverable 1.6:** Contractor will ensure receipt of all relevant information from the family to complete intake process including: Medicaid eligibility verification, insurance and income verification and eligibility for and referral to other community programs/services.

- The SPOE shall verify Medicaid eligibility according to the requirements specified in Chapter 4 of the Practice Manual located at <http://www.earlysteps.dhh.louisiana.gov>.

**Deliverable 1.7:** Contractor will conduct a determination of need coordinated with the EarlySteps central and regional office staff, to access the surrogate parent system. The contractor's role shall include: Submitting any such names and addresses to OCDD for appropriate surrogate parent action, using the state-developed form; assisting OCDD in recruiting surrogate parent volunteers; assisting OCDD with local surrogate parent training if necessary; reviewing the child's situation in regards to whether a parent or guardian is present; and determining if a referred child would benefit from a surrogate parent. Within ten (10) business days of the child's initial referral to the contractor, the contractor must complete and return to OCDD the designated form for each child believed to be eligible to receive a surrogate appointment based on the criteria set forth under 34 CFR 303.406. OCDD shall appoint a surrogate parent and inform the contractor of the appointment.

**Deliverable 1.8:** Contractor will send an acknowledgement of receipt of referral form to referral sources using a standard acknowledgement letter provided by EarlySteps.

**Deliverable 1.9:** Contractor will send certified letters to families when contact attempts fail.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of referrals processed within 3 business days.
- Documentation of percentage of face-to-face interviews with families within 10 business days.
- Documentation of percentage of referral acknowledgements sent within 5 business days.



## ATTACHMENT II

### Statement of Work

- Documentation of percentage of certified letters sent to families after 3 documented contact attempts.
- Reports reflect accuracy of chart data within acceptable parameters as determined in monitoring activities.
- Documentation that parent CQI survey results shall be conducted by the contractor and consistent with targets set for the Louisiana Annual Performance Report (APR) for Indicator 4 for appropriate SPOE region. The APR is posted on the EarlySteps website.

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports
- Review results of parent survey data
- Review chart for required activity documentation

#### **Deliverable 2: Conduct Eligibility Determination Process**

The contractor shall coordinate eligibility determination for each child who enters the process following screening, arrange for the eligibility evaluator, early intervention consultant, family, and other multidisciplinary team members as appropriate, and facilitate the eligibility and/or IFSP team meetings. (Approximately 5,100 eligibility evaluations were coordinated by the SPOEs in 2012-13).

Deliverable 2.1: Contractor will collect relevant assessments and evaluations shall be collected from other sources including the referral source.

Deliverable 2.2: Contractor will assemble appropriate multidisciplinary team to review the referral information and previous assessment/medical information and to participate in the eligibility determination process in accordance with IDEA Part C regulations and EarlySteps policies. This team shall be an in-house multidisciplinary team with experience with evaluating infants and toddlers with disabilities, including the early intervention consultant, and/or shall be selected from the EarlySteps-enrolled early intervention evaluation providers. Payment for the EarlySteps-enrolled evaluators will be billed by them separately according to current EarlySteps process, not through the SPOE contractor.

Deliverable 2.3: Contractor will complete the determination of eligibility as required under IDEA Part C IDEA and state and federal regulations, the EarlySteps Practice Manual and the training modules: Making Informed Decisions, Battelle Developmental-2 Inventory and the Autism Screening module. Autism screening shall be conducted with children 18 months of age and annually thereafter.

Deliverable 2.4: Contractor will conduct referrals to community supports and resources and other services, including referral for EPSDT case management for children not eligible for EarlySteps.

#### **Performance Measures**

Contractor shall provide or maintain:

- The contractor shall meet the timelines specified in the RFP. EIDS captures the data based on SPOE performance. Reports shall be generated based on these activities. In addition the SPOE shall submit a monthly performance report which is included as Attachment XI. Accurate completion of data entry results shall be in successfully issued authorizations.
- Documentation of percentage of children processed from referral to initial IFSP within 45 calendar days, consistent with targets for APR and regional targets as specified in Attachment VIII
- Documentation of parent CQI survey results shall be consistent with targets set in Louisiana APR Indicator 4
- Documentation of identification of children shall be referred to EPSDT by the Bureau of Health Services Financing contractor
- Documentation of the number of eligibility evaluations completed by the multidisciplinary eligibility team

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports and self-assessments
- Review of the results of parent survey data.
- Review of chart for required documentation

## ATTACHMENT II

### Statement of Work

#### **Deliverable 3: Assess family concerns, priorities, and resources and develop initial Individualized Family Service Plan (IFSP)**

The contractor will coordinate the results of the evaluation and assessment process including the family-directed assessment, information collected during the intake process, results of the evaluation and assessment data, using a team-based model, which supports decision-making necessary to develop the IFSP as specified below:

**Deliverable 3.1:** Contractor will ensure that family concerns, priorities and resources are accurately reflected in the IFSP following an assessment conducted as part of the eligibility determination process for families of eligible children.

**Deliverable 3.2:** Contractor will ensure that the family chooses a Family Service Coordinator and Providers from the Service Matrix.

**Deliverable 3.3:** Contractor will ensure that an IFSP team is assembled that consist of the following members:

- Parent(s) of the child
- Other family members, requested by the parent(s)
- An advocate or other person(s) requested by the family,
- The Family Service Coordinator selected by the family at the time of the initial referral, as defined under 34 CFR 303.34 that has been designated responsible for the implementation of the IFSP.
- Person(s) involved in conducting the evaluations and assessments, in-person or through other means, such as participation by telephone conference call or through pertinent records that are available at the meeting. A knowledgeable authorized representative may also attend the meeting as a substitute for the person unable to attend [34 CFR 303.343 (a) (v)], and
- Service providers [34 CFR 303.343 (a) (vi)] as appropriate.

**Deliverable 3.4:** Contractor will complete the initial IFSP within 45 calendar days of referral that identify child and family priorities according to IFSP requirements.

**Deliverable 3.5:** Contractor will complete referrals and transition activities for children referred to the OCDD and the local education agency (LEA) prior to the child's 3rd birthday according to EarlySteps and OCDD policy. Referrals to other resource agencies, such as Families Helping Families, Child Care Resource and Referral Agencies, Head Start and Early Head Start, etc., identified during intake process shall be made.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of completion of activities associated with referral, eligibility determination, and initial IFSP within 45calendar days.
- Documentation that IFSPs are complete and accurately identify child and family outcomes from assessment process
- Documentation of average costs of services within service guidelines  
EarlySteps utilizes Service Guidelines called IFSP Team services process found in Chapter 6 of the Practice Manual which outlines a process based upon 24 hours of services in 6 months. These are the service guidelines referred to in the RFP from which average per child costs can be determined. Average per child costs are typically \$2100 per child for service costs only. Variations from this guideline are allowable according to the defined process. SPOEs shall follow the guidelines in the development of the initial IFSP so that cost effectiveness is demonstrated.
- Documentation of percentage of IFSPs completed which meet targets for Louisiana APR indicators 1, 2, 7, and 8

#### **Monitoring Plan**

The contract monitor will:

- Review of chart for hard copy of IFSP, transition meeting and documentation of referrals sent to OCDD and the LEA
- Review of EIDS data is within established parameters for region according to quarterly EIDS reports
- Review of Corrective Action Plans developed and timely correction of any targets not met
- Review of monthly report submitted to regional and central office staff. Attachment XI of the RFP outlines the data that EarlySteps requires for monthly reporting by the SPOE.
- Review evidence of team process in IFSP development according to signatures of participating members.

## ATTACHMENT II

### Statement of Work

**Deliverable 4: Provide administrative functions related to collecting family financial information, issuing service authorizations and data entry for the Central Finance Office (CFO).**

The contractor will perform activities which support timely service delivery for enrolled infants and toddlers and accurate, timely data reporting as specified below:

**Deliverable 4.1:** Contractor will submit Service authorizations to the CFO within 2 business days of the initial IFSP meeting.

**Deliverable 4.2:** Contractor will ensure that subsequent service authorizations are received from and processed for the FSC and service providers within 3 days following an IFSP review /revision.

**Deliverable 4.3:** Contractor will ensure that each child's Master record is maintained as specified below.

**Deliverable 4.4:** Contractor will ensure that data uploads to CFO are conducted according to the established schedule.

**Deliverable 4.5:** Contractor will ensure that Family income information is collected during the intake process for entry into EIDS and issuance of the Family Cost Participation Notice Statement. Ongoing financial data entry will occur annually as well.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of IFSPs completed which shall meet targets for Louisiana APR Indicators 1, 2, 7, and 8
- Documentation of IFSP services fully authorized for initial service provision shall occur within 30 days of parent consent. Service providers shall be able to provide timely services following access to service authorizations
- Documentation of Family Cost Share shall be accurately calculated requiring a minimum of system adjustments following entry

#### **Monitoring Plan**

The contract monitor will:

- Review chart for master copy of IFSP and other documentation for child master record
- Review provider billing processed by CFO and Medicaid
- Review EIDS data within state-established parameters

**Deliverable 5: Establish and Maintain Record Keeping System according to Federal and State Requirements**

The contractor shall establish and maintain records for each child as well as in support of business operations as specified below:

**Deliverable 5.1:** Contractor will maintain all early intervention records shall be maintained in accordance with the applicable regulations under IDEA, Family Education Rights and Privacy Act (FERPA) and Education Department General Accounting Rules (EDGAR), including hard copy paper file and electronic file record, as described below, regardless of the outcome of the intake process (i.e. eligible or not, accept or decline services, etc.).

**Deliverable 5.2:** Contractor will use the Early Intervention data system software (EIDS) operated by the CFO contractor for accurate data entry as the link between the contractor's records and the EIDS. EIDS is provided at no cost to the contractor.

**Deliverable 5.3:** Contractor will obtain all notices of actions and consents; family support coordination documentation including meeting notifications, IFSP reviews/evaluations, new IFSPs, correspondence, family income information, and releases in the hard copy file record in the format required shall be maintained.

**Deliverable 5.4:** Contractor will utilize required EarlySteps forms for record keeping according to the instructions provided in the EarlySteps Practice Manual.

**Deliverable 5.5:** Contractor will ensure data entry in EIDS is accurate such that OCDD is able to:

- Identify gaps in the local service delivery system and the need for resource development, personnel recruitment, etc.;

## ATTACHMENT II

### Statement of Work

- Conduct financial forecasting, fund acquisition, and other reporting functions accurately
- Verify required system components (e.g. IFSP, releases, consents, etc.) are completed according to state and federal regulations.
- Submit eligibility verification and prior authorization data to Molina the fiscal intermediary for the Bureau of Health Services Financing.

**Deliverable 5.6:** Contractor will ensure all child and family information, medical records, and data elements collected, maintained or used in the administration of the contract from unauthorized disclosure as set forth under 34 CFR 303.406 shall be protected according to:

- Safeguards that restrict the use or disclosure of information concerning children and families to purposes directly connected with the administration of the contract.
- Records, reports, documentation, data, and material developed or acquired by the contractor, as a direct requirement specified in the contract shall become the property of the State of Louisiana.
- Information gained by the contractor as a result of the activities conducted under the contract shall be confidential, and no reports, documentation, or material prepared as required by or obtained through the contract shall be released to the public without the prior written consent of OCDD and must include the identification of EarlySteps, OCDD and the State of Louisiana.
- Signatures obtained from all employees or subcontractors of the contractor agreeing to the confidentiality provisions of the contract as required by the OCDD.

**Deliverable 5.7:** Contractor will maintain financial, time, and accounting records and evidence pertaining to the contract in accordance with generally accepted accounting principles and other procedures as specified by DHH/OCDD. These records must be made available to DHH/OCDD, and/or its designees, and the legislative auditor during the contract period, any renewal period, and for the period of time specified below for retention of records.

**Deliverable 5.8:** Contractor will securely store books, records, evidence, and other documents relevant to the contract for a period of four (4) years after final payment and the completion of an audit (if an audit is performed). Any records or documents involved in, related to, or required for any litigation, claim, negotiation, audit, or other such action must be retained until the resolution of the action, or until four years have passed after final payment and completion of any required audit, whichever is later. The contractor shall allow authorized representatives of the State of Louisiana agencies and the federal government to inspect these records upon request.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of records is complete, accurate and meets Federal and State Requirements.
- Evidence that hard copy documentation shall be consistent with EIDS data.
- Documentation of records are maintained according to the required timelines

#### **Monitoring Plan**

The contract monitor will:

- Review charts
- Conduct agency Audits
- Review Data Report

#### **Deliverable 6: Hire and Train staff to meet functions of SPOE office (see Attachment VI for Job Descriptions)**

The Contractor will conduct activities which meet personnel requirements and needs of the region as specified below. Key personnel commitments made in the contract shall only be changed with prior written approval of DHH/OCDD. The contractor shall be responsible for the training and education of new personnel at the contractor's expense. DHH/OCDD shall not be liable for any cost related to the training or education of new or substitute staff.

**Deliverable 6.1:** Contractor will hire personnel who will demonstrate effective service provision as required in the contract and meet qualifications specified.

**Deliverable 6.2:** Contractor will hire appropriate number of staff necessary to provide all required services.

**Deliverable 6.3:** Contractor will hire staff members that meet specified qualifications.

**Deliverable 6.4:** Contractor will provide additional necessary support (such as data support) to assist the Intake Service Coordinators in providing the services required herein.

## ATTACHMENT II

### Statement of Work

**Deliverable 6.5:** Contractor and/or sub-contractor will, if requested by DHH, provide all necessary authorizations for the background checks for all personnel. The contractor must arrange for background checks for required staff according to requirements of the Department of Children and Family Services. This requirement states that an employee or subcontractor of the contractor must pass a background check prior to employment and or initiation of a contract and every three years thereafter or according to the requirements of RS 49:950 et seq. (The State reserves the right to conduct a background check on any contractor or sub-contractor personnel).

#### **Performance Measures**

Contractor shall provide or maintain:

- Supporting documentation that all staff meets specified qualifications.
- Documentation of adequate staffing of program results in timeline requirements being met according to APR Indicators 1, 7, and 8.

#### **Monitoring Plan**

The contract monitor will:

- Review Charts -Personnel files
- Review EIDS reports
- Review Staff Training Records
- Review documentation of Verification of Background Checks

**Deliverable 7: Ensure that all licensing and training requirements are met according to the *Case Management Services Provider Manual*, reissued 7/01/2002.**

The contractor will arrange and/or provide case management training and EarlySteps training as specified below:

**Deliverable 7.1:** Contract will ensure that each Intake Service Coordinator and Intake Service Coordinator/Early Intervention Consultant-Supervisor complete required licensing and EarlySteps training as specified below and participate in any required meetings. In addition, the intake service coordinators must adhere to the requirements of the EarlySteps Practice Manual.

EarlySteps Training Requirements shall include the following:

- Module 1: Orientation—EarlySteps: A New Look
- Module 2: Evaluation and Assessment—Making Informed Decisions on-line module and with a face-to-face component (when available) through EarlySteps
- Module 3: Spectrum of Child Development
- Module 4: Family-Centered Practices
- Module 5: Introduction to Teaming Practices
- Module 6: Introduction to the Individualized Family Services Plan on-line and Individualized Family Service Plan Process—a face-to-face component, when available.
- Module 7: Concerns, Priorities and Resource Process, a face-to-face training activity, when available
- Module 8: Talking to Families about their Rights, an online module
- Face-to-Face Orientation to EarlySteps by Regional Coordinator
- Technical Assistance provided at a minimum of 1 hour per month with the Regional Coordinator in region served; meetings may increase based on the SPOE needs. All SPOE staff will be required to attend scheduled meetings.
- SPOE software training
- Additional training as required by DHH/OCDD

**Additional Case Management Licensing Training Requirements:**

Orientation- at least sixteen (16) hours must be provided to all staff, volunteers, and students within five (5) working days of employment. A minimum of eight (8) hours of the orientation training must cover orientation to early intervention including, but not limited to, specific service needs and resources. This orientation must include, at a minimum:

- Case Management Provider policies and procedures.
- Medicaid and other applicable DHH policies and procedures.
- Confidentiality.
- Documentation in case records.
- Parents' Rights under IDEA Part C.
- Recipient rights protection and reporting of violations.
- Recipient abuse and neglect reporting policies and procedures.
- Recognizing and defining abuse and neglect.
- Emergency and safety procedures.



## ATTACHMENT II

### Statement of Work

- Data management and record keeping.
- Infection control and universal precautions.
- Working with the early intervention population.
- Professional ethics.
- Outcome measures.

Deliverable 7.2: Contractor will ensure that in addition to the required sixteen (16) hours of orientation, all new employees without documented training must receive an additional minimum sixteen (16) hours of training during the first ninety (90) calendar days of employment. This training must be related to the population of infants and toddlers with disabilities to be served, must include specific knowledge, skills, and techniques, and must include the training modules listed above.

Deliverable 7.3: Contractor will ensure that an individual with demonstrated knowledge of both the training topics and the target population provide this training. This training must include the following at a minimum:

- Assessment techniques.
- Support and service planning.
- Support and service planning for children with complex medical needs
- Resource identification.
- Interviewing and interpersonal skills.
- Data management and record keeping.
- Communication skills
- Cultural awareness.
- Personal outcome measures.

Deliverable 7.4: Contract will ensure that new employees do not assume service coordinator responsibility until the orientation is satisfactorily completed. This additional training may be counted as part of the required 40 annual hours. The following is a list of suggested additional topics for training:

- Nature of illness or disability, including symptoms and behavior.
- Pharmacology.
- Potential array of services for the population.
- Building natural support system.
- Family dynamics.
- Developmental life stages.
- First aid/CPR.
- Signs and symptoms of mental illness, alcohol, and drug addiction, mental retardation/developmental disabilities and head injuries.
- Monitoring techniques.
- Advocacy.
- Behavior management techniques.
- Values clarification/goals and objectives.
- Available community resources.
- Cultural diversity.
- Health management.
- Team building/interagency collaboration.
- Transition/closure.
- Facilitating team meetings.
- Stress and time management.
- Legal issues.
- Outcome measures.

Deliverable 7.5: Contractor will ensure that individuals who supervise Intake Service Coordinators complete a minimum of 40 hours of training a year. Suggested topics for supervisory training include:

- Professional ethics
- Process for interviewing, screening, and hiring staff
- Orientation/in service training of staff
- Evaluating staff
  - Approaches to supervision
  - Managing caseload size
  - Conflict resolution
  - Documentation
  - Time management

## ATTACHMENT II

### Statement of Work

The contractor shall print EarlySteps Practice Manual and any updates and shall make them available to all of the contractor's staff. Verification of training on the program practice manual shall be documented by the contractor. The manual is available on the website at <http://www.earlysteps.dhh.louisiana.gov/>.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of personnel records that include - Time, date, trainer, trainer's qualifications and agenda signed by supervisor, documentation of training provided by outside entities or organizations to include certificate of attendance signed by trainer or training organizations.

#### **Monitoring Plan**

The contract monitor will:

- Review Personnel File
- Review attendance records
- Review Training and Supervision Logs

#### **Deliverable 8: Ensure quality of data reporting and quality assurance**

The contractor will develop and implement quality management strategies which assure quality of contractor and EarlySteps system implementation and accuracy of data entry and reporting as follows:

**Deliverable 8.1:** Contractor will develop written procedures for performance of the services, as required herein, within 90 calendar days of the initiation of the contract which reflect provisions of the EarlySteps system in a prompt, professional, family-centered, equitable, consistent, and culturally competent manner that ensures:

- Each referred child shall be guaranteed equal and timely access to the services available through the EarlySteps system or referred to other appropriate services, regardless of the nature of the child's disability or the degree of disability, family educational/socioeconomic status, primary language or geographic location.
- Families shall receive accurate and timely information, knowledge of choices or options available, and shall be given an explanation of their rights, opportunities and responsibilities under both Part C federal law and state law.
- Collaborative relationships with referring agencies, providers and other community agencies are developed which support the EarlySteps team-based service delivery model.
- Access for children and their families to systems and services that will assist in meeting their needs including those related to the child's developmental concerns as well as enhancing the family's capacity in meeting the needs of their child.
- Confidentiality of data, including medical records, payment information, child and family information, and early intervention service records shall be maintained
- Data shall be entered accurately and in a timely manner
- A written plan for conducting a self-evaluation and report findings to OCDD shall be developed and implemented by the Contractor throughout the Contractor's organization.
- A written approved Quality Enhancement Plan that engages in learning or collecting performance information to determine how well they are meeting the Contractor's goals; responding or acting in ways to improve performance, implementing or activating a plan that has well defined goals and objectives, and evaluating and monitoring the implementation of the quality project

**Deliverable 8.2:** Contractor will ensure that data management results in accurate data reporting which meets state and federal requirements such that:

- Procedures which ensure confidentiality of all contents including medical records, payment information, child and family information, and early intervention service records shall be implemented.
- Reporting requirement established by OCDD including monthly reports, corrective action plans, self-assessments and Individual Family Service Plans (IFSPs) shall be met.
- Procedures shall ensure timely, accurate input of data into EIDS.

#### **Performance Measures**

Contractor shall provide or maintain:

Documentation of policy manual development within 90 days of contract initiation which shall include, but shall not be limited to, the following:

- Anti-discrimination
- Evaluations
- Promotion

## ATTACHMENT II

### Statement of Work

- Disciplinary actions
- Termination
- Employee grievances
- Continuous quality management
- Training requirements

A written Quality Enhancement Plan must be developed within 90 days of contract initiation and approved by OCDD which shall include:

- Contractor's vision and mission
- Establishing a Quality Council
- Establishing an Organizational Infrastructure to Support Quality QM Policy and procedures
- Evaluating Fidelity of Implementation of the Contractor's plan and updates
- Quality management committee which includes stakeholders
- Data collection and analysis
- Procedures for conducting self-evaluation and other quality enhancements and procedures to report findings to OCDD according to established guidelines
- Training
- Procedures for determination of consumer satisfaction and means to address concerns identified

#### **Monitoring Plan**

The contract monitor will:

- Review policy manuals and quality assurance guidelines
- Review data reporting to ensure it meets schedules and results within expected parameters

DHH Contract Budget Detail

Attachment III  
FY14/15

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	30.35	346	10,501	100	0	10,501
EI Consultant/Supervisor	21.39	346	7,401	100	0	7,401
Intake Coordinator	17.34	346	6,000	100	0	6,000
Intake Coordinator	17.34	346	6,000	100	0	6,000
Intake Coordinator	17.34	346	6,000	100	0	6,000
Intake Coordinator	17.34	346	6,000	100	0	6,000
Intake Coordinator	17.34	346	6,000	100	0	6,000
Data Management	17.92	346	6,200	100	0	6,200
Administrative Clerk	14.45	346	5,000	100	0	5,000
Total			59,102		0	59,102

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA	4,522	100	0	4,522
Health Insurance	6,300	100	0	6,300
Dental Insurance	450	100	0	450
Life Insurance	184	100	0	184
Long-Term Disability/AD&D	240	100	0	240
Unemployment	855	100	0	855
			0	0
			0	0
			0	0
Total	12,551		0	12,551

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 21.236% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Program Director	715	100	0	715
EI Consultant/Supervisor	715	100	0	715
Intake Coordinator	714	100	0	714
Intake Coordinator	714	100	0	714
Intake Coordinator	714	100	0	714
Intake Coordinator	714	100	0	714
Intake Coordinator	714	100	0	714
Mileage Conferences & Mtgs.	284	100	0	284
			0	0
Total	5,284		0	5,284

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 12 parishes in Region 8.

(13) Operating Services	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Rent (\$2750 x 2)	5,500	100	0	5,500
Utilities (\$570 x 2)	1,140	100	0	1,140
Telephone & Cell phone (\$825 x \$2)	1,650	100	0	1,650
Workers Comp. (\$658 x 2)	1,316	100	0	1,316
Lease (Copier & Postage machine) (\$791.70 x 2)	1,583	100	0	1,583
Postage - (\$500 x 2)	1,000	100	0	1,000
Equipment Maintenance - (\$466.70 x 2)	933	100	0	933
Employee Training & Orientation (\$216 x 2)	432	100	0	432
Payroll Processing & Misc (\$600 x 2)	1,200	100	0	1,200
Total	14,754		0	14,754

Justification

Office space and operating expenses based upon current property costs in Monroe, Louisiana.

(14) Supplies	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Supplies(paper,pens,stationary,etc) 833 x 2	1,666	100	0	1,666
Miscellaneous (outside printing) (\$300 x 2)	600	100	0	600
		0	0	0
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
Total	2,266		0	2,266

Justification

Office supplies including paper, folders, etc. essential for contract deliverables.

(15) Professional Services	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0	0	0
		0	0	0
			0	0
			0	0
			0	0
Total	0		0	0

Justification

Meet state audit requirements.



(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0	0	0
		0	0	0
		0	0	0
			0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Administrative Costs	10,335	100	0	10,335
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
Total	10,335		0	10,335

Justification

Indirect costs for administration of contract represents 11% of contract total.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
Total		0		0	0

Justification



DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Easter Seals Louisiana FROM: 5/01/2015 TO: 06/30/2015

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	59,102	0	59,102
RELATED BENEFITS	(41)	12,551	0	12,551
TRAVEL	(12)	5,284	0	5,284
OPERATING SERVICES	(13)	14,754	0	14,754
SUPPLIES	(14)	2,266	0	2,266
PROFESSIONAL SVCS	(15)	0	0	0
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	10,335	0	10,335
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		104,292	0	104,292

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds  
If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment III  
FY 15/16

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	30.29	2,080	63,003	100	0	63,003
EI Consultant/Supervisor	21.35	2,080	44,408	100	0	44,408
Intake Coordinator	17.31	2,080	36,005	100	0	36,005
Intake Coordinator	17.31	2,080	36,005	100	0	36,005
Intake Coordinator	17.31	2,080	36,005	100	0	36,005
Intake Coordinator	17.31	2,080	36,005	100	0	36,005
Intake Coordinator	17.3	2,080	35,984	100	0	35,984
Data Management	17.88	2,080	37,190	100	0	37,190
Administrative Clerk	14.42	2,080	29,994	100	0	29,994
Total			354,599		0	354,599

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA	27,127	100	0	27,127
Health Insurance	37,800	100	0	37,800
Dental Insurance	2,700	100	0	2,700
Life Insurance	1,100	100	0	1,100
Long-Term Disability/AD&D	1,440	100	0	1,440
Unemployment	5,136	100	0	5,136
			0	0
			0	0
			0	0
Total	75,303		0	75,303

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 21.236% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Program Director	4,285	100	0	4,285
EI Consultant/Supervisor	4,285	100	0	4,285
Intake Coordinator	4,286	100	0	4,286
Intake Coordinator	4,286	100	0	4,286
Intake Coordinator	4,286	100	0	4,286
Intake Coordinator	4,286	100	0	4,286
Intake Coordinator	4,286	100	0	4,286
Mileage Conferences & Mtgs.	1,700	100	0	1,700
			0	0
Total	31,700		0	31,700

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 12 parishes in Region 8.

(13) Operating Services	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Rent (\$2750 x 12)	33,000	100	0	33,000
Utilities (\$570 x 12)	6,840	100	0	6,840
Telephone & Cell phone (\$825 x 12)	9,900	100	0	9,900
Workers Comp. (\$658 x 12)	7,896	100	0	7,896
Lease (Copier & Postage machine) (\$791.70 x 12)	9,500	100	0	9,500
Postage - (\$500 x 12)	6,000	100	0	6,000
Equipment Maintenance - (\$466.70 x 12)	5,600	100	0	5,600
Employee Training & Orientation (\$216 x 12)	2,592	100	0	2,592
Payroll Processing & Misc (\$600 x 12)	7,200	100	0	7,200
Total	88,528		0	88,528

Justification

Office space and operating expenses based upon current property costs in Monroe, Louisiana.

(14) Supplies	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Supplies(paper,pens,stationary,etc) 833.35 x 12	10,000	100	0	10,000
Miscellaneous (outside printing) (\$300 x 12)	3,600	100	0	3,600
		100	0	0
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
Total	13,600		0	13,600

Justification

Office supplies including paper, folders, etc. essential for contract deliverables.

(15) Professional Services	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Audit/Legal (\$333.35 x 12)	4,000	100	0	4,000
		100	0	0
			0	0
			0	0
			0	0
			0	0
Total	4,000		0	4,000

Justification

Meet state audit requirements.



(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0	0	0
		0	0	0
		0	0	0
			0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Administrative Costs	62,450	100	0	62,450
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
Total	62,450		0	62,450

Justification

Indirect costs for administration of contract represents 11% of contract total.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
Total		0		0	0

Justification



CONTRACTOR: Easter Seals Louisiana

FROM: 7/01/2015

TO: 06/30/2016

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	354,599	0	354,599
RELATED BENEFITS	(41)	75,303	0	75,303
TRAVEL	(12)	31,700	0	31,700
OPERATING SERVICES	(13)	88,528	0	88,528
SUPPLIES	(14)	13,600	0	13,600
PROFESSIONAL SVCS	(15)	4,000	0	4,000
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	62,450	0	62,450
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		630,180	0	630,180

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment III

FY 16/17

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	31.5	2,080	65,520	100	0	65,520
EI Consultant/Supervisor	22.2	2,080	46,176	100	0	46,176
Intake Coordinator	18	2,080	37,440	100	0	37,440
Intake Coordinator	18	2,080	37,440	100	0	37,440
Intake Coordinator	18	2,080	37,440	100	0	37,440
Intake Coordinator	18	2,080	37,440	100	0	37,440
Intake Coordinator	18	2,080	37,440	100	0	37,440
Data Management	18.6	2,080	38,688	100	0	38,688
Administrative Clerk	15	2,080	31,200	100	0	31,200
Total			368,784		0	368,784

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA	28,212	100	0	28,212
Health Insurance	39,312	100	0	39,312
Dental Insurance	2,808	100	0	2,808
Life Insurance	1,144	100	0	1,144
Long-Term Disability/AD&D	1,498	100	0	1,498
Unemployment	5,341	100	0	5,341
			0	0
			0	0
			0	0
Total	78,315		0	78,315

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 21.236% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Program Director	4,457	100	0	4,457
EI Consultant/Supervisor	4,458	100	0	4,458
Intake Coordinator	4,457	100	0	4,457
Intake Coordinator	4,457	100	0	4,457
Intake Coordinator	4,457	100	0	4,457
Intake Coordinator	4,457	100	0	4,457
Intake Coordinator	4,457	100	0	4,457
Mileage Conferences & Mtgs.	1,764	100	0	1,764
			0	0
Total	32,964		0	32,964

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 12 parishes in Region 8.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$2860 x 12)	34,320	100	0	34,320
Utilities (\$592.85 x 12)	7,114	100	0	7,114
Telephone & Cell phone (\$858 x 12)	10,296	100	0	10,296
Workers Comp. (\$684.35 x 12)	8,212	100	0	8,212
Lease (Copier & Postage machine) (\$823.35 x 12)	9,880	100	0	9,880
Postage - (\$520 x 12)	6,240	100	0	6,240
Equipment Maintenance - (\$485.35 x 12)	5,824	100	0	5,824
Employee Training & Orientation (\$224.70 x 12)	2,696	100	0	2,696
Payroll Processing & Misc (\$624 x 12)	7,488	100	0	7,488
<b>Total</b>	<b>92,070</b>		<b>0</b>	<b>92,070</b>

Justification

Office space and operating expenses based upon current property costs in Monroe, Louisiana.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Supplies(paper,pens,stationary,etc) 866.70 x 12	10,400	100	0	10,400
Miscellaneous (outside printing) (\$312 x 12)	3,744	100	0	3,744
		100	0	0
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>14,144</b>		<b>0</b>	<b>14,144</b>

Justification

Office supplies including paper, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Audit/Legal (\$346.70 x 12)	4,160	100	0	4,160
		100	0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>4,160</b>		<b>0</b>	<b>4,160</b>

Justification

Meet state audit requirements.



(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0	0	0
		0	0	0
		0	0	0
			0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Administrative Costs	64,948	100	0	64,948
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
Total	64,948		0	64,948

Justification

Indirect costs for administration of contract represents 11% of contract total.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
Total		0		0	0

Justification



CONTRACTOR: Easter Seals Louisiana

FROM: 7/01/2016

TO: 06/30/2017

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	368,784	0	368,784
RELATED BENEFITS	(41)	78,315	0	78,315
TRAVEL	(12)	32,964	0	32,964
OPERATING SERVICES	(13)	92,070	0	92,070
SUPPLIES	(14)	14,144	0	14,144
PROFESSIONAL SVCS	(15)	4,160	0	4,160
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	64,948	0	64,948
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		655,385	0	655,385

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment III

FY 17/18

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	32.75	1,734	56,789	100	0	56,789
EI Consultant/Supervisor	23.08	1,734	40,021	100	0	40,021
Intake Coordinator	18.72	1,734	32,460	100	0	32,460
Intake Coordinator	18.72	1,734	32,460	100	0	32,460
Intake Coordinator	18.71	1,734	32,443	100	0	32,443
Intake Coordinator	18.71	1,734	32,443	100	0	32,443
Intake Coordinator	18.71	1,734	32,443	100	0	32,443
Data Management	19.34	1,734	33,536	100	0	33,536
Administrative Clerk	15.59	1,734	27,033	100	0	27,033
Total			319,628		0	319,628

Justification

Salaries required to have adequate qualified staff to perform contractual obligations.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA	24,450	100	0	24,450
Health Insurance	34,070	100	0	34,070
Dental Insurance	2,430	100	0	2,430
Life Insurance	990	100	0	990
Long-Term Disability/AD&D	1,300	100	0	1,300
Unemployment	4,630	100	0	4,630
			0	0
			0	0
			0	0
Total	67,870		0	67,870

Justification

Employee benefits including health insurance for those employees choosing to access this benefit and represents 21.234% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Program Director	3,862	100	0	3,862
EI Consultant/Supervisor	3,863	100	0	3,863
Intake Coordinator	3,863	100	0	3,863
Intake Coordinator	3,863	100	0	3,863
Intake Coordinator	3,863	100	0	3,863
Intake Coordinator	3,863	100	0	3,863
Intake Coordinator	3,863	100	0	3,863
Mileage Conferences & Mtgs.	1,530	100	0	1,530
			0	0
Total	28,570		0	28,570

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 12 parishes in Region 8.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$2974 x 10)	29,740	100	0	29,740
Utilities (\$617 x 10)	6,170	100	0	6,170
Telephone & Cell phone (\$893 x \$10)	8,930	100	0	8,930
Workers Comp. (\$712 x 10)	7,120	100	0	7,120
Lease (Copier & Postage machine) (\$856 x 10)	8,560	100	0	8,560
Postage - (\$541 x 10)	5,410	100	0	5,410
Equipment Maintenance - (\$505 x 10)	5,050	100	0	5,050
Employee Training & Orientation (\$234 x 10)	2,340	100	0	2,340
Payroll Processing & Misc (\$649 x 10)	6,490	100	0	6,490
<b>Total</b>	<b>79,810</b>		<b>0</b>	<b>79,810</b>

Justification

Office space and operating expenses based upon current property costs in Monroe, Louisiana.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Supplies (paper, pens, stationary, etc) \$901 x 10	9,010	100	0	9,010
Miscellaneous (outside printing) (\$324 x 10)	3,240	100	0	3,240
		100	0	0
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>12,250</b>		<b>0</b>	<b>12,250</b>

Justification

Office supplies including paper, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Audit/Legal (\$432.60 x 10)	4,326	100	0	4,326
		100	0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>4,326</b>		<b>0</b>	<b>4,326</b>

Justification

Meet state audit requirements.



(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0	0	0
		0	0	0
		0	0	0
			0	0
			0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Administrative Costs	56,370	100	0	56,370
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
Total	56,370		0	56,370

Justification

Indirect costs for administration of contract represents 11% of contract total.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
Total		0		0	0

Justification



DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Easter Seals Louisiana FROM: 7/01/2017 TO: 04/30/2018

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	319,628	0	319,628
RELATED BENEFITS	(41)	67,870	0	67,870
TRAVEL	(12)	28,570	0	28,570
OPERATING SERVICES	(13)	79,810	0	79,810
SUPPLIES	(14)	12,250	0	12,250
PROFESSIONAL SVCS	(15)	4,326	0	4,326
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	56,370	0	56,370
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		568,824	0	568,824

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

Part C - System Point of Entry  
Sample Monthly Invoice

Agency Name:  
CFMS #:  
Contact Person:  
Address:

Phone:  
Email:

Month: \_\_\_\_\_

Vendor#: \_\_\_\_\_

Invoice #: \_\_\_\_\_

SPOE Region: \_\_\_\_\_ PROGRAM: EARLYSTEPS

Date: \_\_\_\_\_

Categories		Approved Amount	Previously Billed	Current Expenses	Balance Remaining
Personnel			\$ -	\$ -	\$
Related Benefits			-	-	
Travel			-	-	
Operating Supplies			-	-	
Supplies			-	-	
Professional Services					
Capital Assets			-	-	
Administrative			-	-	
Total			\$ -	\$ -	\$

CONTRACTOR'S CERTIFICATE

"This is to certify that the information contained on this form is true, accurate and complete and that expenditures shown above were made for the furtherance of and in conformity with the contractual agreement with DHH/OCDD."

\_\_\_\_\_  
Signature of Contractor

\_\_\_\_\_  
Date

\_\_\_\_\_  
OCDD Approval Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
225-342-0095  
Contact Phone #

## Sample SPOE Monthly Report

	#	%	Total # of Referrals	Total # of IFSPs completed within 45 days	% of IFSPs completed within 45 days
1.	# of Carryover Referrals from Prior Month				
2.	# of Carryover Referrals closed -parent declined				
3.	# of Carryover Referrals closed-could not contact				
4.	Total #of Carryovers				
5.	# of Carryover Referrals Not Eligible by ASQ				
6.	# of Carryover Referrals Not Eligible based on BDI				
7.	Total # of Eligible Children from Carryover Referrals				
8.	# of Carryover Referrals contacted within 4 calendar days				
9.	% of Families contacted within 4 calendar days				
10.	Face-to-Face Contact within 10 Calendar Days of Referral				
11.	% of Face-to-Face Contact completed within 10 Calendar Days				
12.	Total Number of IFSPs written from Carryovers Referrals				
13.	# of IFSPs written within 45 days from Carryovers Referrals				
14.	% of IFSPs completed within 45 days				

[illegible]



## **Attachment VI**

1. **Order of Precedence:** The contract shall, to the extent possible, be construed to give effect to all provision contained therein, however, where provisions conflict, the intent of the parties shall be determined by giving a first priority to provisions of the contract excluding the RFP and the proposal; second priority to the provision of the RFP; and third priority to the provisions of the proposal.
2. **Entire Agreement:** This contract, together with the RFP and addenda issued thereto by the Department, the proposal submitted by the contractor in response to the Department's RFP, and any exhibits specifically incorporated herein reference constitute the entire agreement between the parties with respect to the subject matter.

BOARD RESOLUTION

STATE OF LOUISIANA

PARISH OF ORLEANS

On the 17<sup>th</sup> day of September, 2014 at a meeting of the Board of Directors of **EASTER SEALS LOUISIANA, INC.**, a corporation held in New Orleans, an incorporated municipality in the Parish of Orleans, with Quorum of the Directors present, the following business was conducted:

**"BE IT RESOLVED** that the Board of Directors of the above corporation do hereby authorize **TRACY GARNER** President/CEO and her successors in office to negotiate on terms and conditions that they may deem advisable, including contracts with the Louisiana Department of Health and Hospitals (DHH) and other State and Federal agencies on behalf of the corporation and further we do hereby give them the power to do all things necessary to implement, maintain, amend or renew said documents, contracts, leases, agreements, etc."

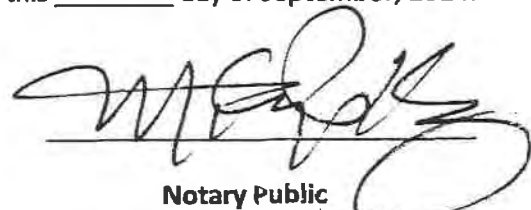
The above resolution was passed by a majority of those present and voting in accordance with the ByLaws and Articles of Incorporation.

I certify that the above and foregoing constitutes a true and correct copy of a part of the minutes of the Board of Directors of **EASTER SEALS LOUISIANA, Inc.**, held on the 17<sup>th</sup> day of September, 2014.



Secretary

Executed before me, the undersigned Notary Public, this 30 day of September, 2014.



Notary Public  
**MICKEY P. LANDRY**  
Notary Public, Bar No. 22817  
State of Louisiana, Parish of Orleans  
My Commission is issued for life.



# State of Louisiana

## DEPARTMENT OF HEALTH AND HOSPITALS Office for Citizens with Developmental Disabilities

March 25, 2015

Ms. Pamela Bartfay-Rice, Esq.  
Director  
Divisions of Administration  
Office of Contractual Review  
P.O. Box 94095  
Baton Rouge, LA 70804-9095

Dear Ms. Rice:

Please consider this justification for the Department of Health and Hospitals, Office for Citizens with Developmental Disabilities to enter in to a multi-year contract with the ten System Point of Entry Contractors selected through the RFP process:

- Region 1 – Easter Seals Louisiana (CFMS – 735114)
- Region 2 – Southeast Area Health Education Center (CFMS – 735115)
- Region 3 – Southeast Area Health Education Center (CFMS – 735268)
- Region 4 – First Steps Referral and Consulting, LLC (CFMS – 735229)
- Region 5 – First Steps Referral and Consulting, LLC (CFMS – 735210)
- Region 6 – Easter Seals Louisiana (CFMS – 735219)
- Region 7 – Families Helping Families at the Crossroads (CFMS – 735293)
- Region 8 – Easter Seals Louisiana (CFMS – 735294)
- Region 9 – Southeast Area Health Education Center (CFMS – 735292)
- Region 10 – Southeast Area Health Education Center (CFMS – 735213)

These contractors provide services for the EarlySteps system which are required by the Federal IDEA, Part C program with the US Department of Education. A multi-year contract supports the continuity of the required services: intake, initial eligibility determination, intake service coordination, as well as hosting the regional data systems for the State system for 10,000 annual referrals, and service authorizations for approximately 9300 children each year.

Funds for the first fiscal year of the contract are available and payment and performance for subsequent fiscal years shall be subject to the availability of funds.

The estimated requirements covering the period of the contract are reasonably firm and continuing and such a contract will serve the best interests of the State by encouraging effective competition or otherwise promoting economies in state procurement through the continuity of services provided over multiple years.

If further information is needed, please call (342-0095).

Sincerely,

  
Brenda Sharp,  
Program Manager

YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Contains a date upon which the contract is to begin and upon which the contract will terminate.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Contains a description of the work to be performed and objectives to be met.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Contains an amount and time payment to be made.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Contains a description of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Contains a date of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. When a contract includes travel and/or other reimbursable expenses, it contains language to effect the following:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	A. Travel and other reimbursable expenses shall constitute part of the total maximum payable under the contract; (or)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	B. No more than (a certain sum) of the total maximum amount payable under this contract shall be paid or received as reimbursement for travel and other reimbursable expenses; (and)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	C. Travel expenses shall be reimbursed in accordance with Division of Administration Policy and Procedure memorandum 49 (The State General Travel Regulations).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. Contains the responsibility for payment of taxes.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	8. Contains the circumstances under which the contract can be terminated either with or without cause and contains the remedies for default.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	9. Contains a statement giving the Legislative Auditor the authority to audit records of the individual(s) or firm(s).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10. Contains an assignability clause as provided for under LAC-4:4.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	11. Budget Form BA-22, fully completed and attached to back of each contract.

**DETERMINATION OF RESPONSIBILITY**

YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Had adequate financial resources for performance, or has the ability to obtain such resources as required during performance.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Has the necessary experience, organization, technical qualifications, skills and facilities or has the ability to obtain them (including probable subcontractor arrangements).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Is able to comply with the proposed or required time of delivery or performance schedule.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Has a satisfactory record of integrity, judgment and performance (contractors which are seriously delinquent in current contract performance, considering the number of contracts and the extent of delinquencies of each, shall in the absences of evidence to the contrary or compelling circumstances presumed to be unable to fulfill this agreement).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Is otherwise qualified and eligible to receive an award under applicable laws and regulations.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. If a contract for consulting services is for \$50,000 or more: The head of the using agency has prepared, signed and placed in the contract file a statement of the facts on which a determination of responsibility of offer or potential subcontractors have been filed with the statement.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. On subcontracting, it has been established that contractors recent performance history indicates acceptable subcontracting systems; or, major subcontractors have been determined by the heads of the using agency to satisfy this standard

**R.F.P. CONSULTING CONTRACTS FOR \$50,000 OR MORE; UNLESS DETERMINED EXEMPT AS PER ACT 673 of 1985, R.S. 39:1494.1 (A).**

☐ Contract file attached and this includes:

☐ Criteria for selection ☐ Proposals ☐ Pertinent Documents ☐ Selection Memorandum

**PROGRAM / FACILITY SIGNATURE**

**ASSISTANT SECRETARY OR DESIGNEE SIGNATURE**

OFFICE  
OCDD/EarlySteps

PHONE NUMBER  
(225)342-5715

OFFICE  
Office for Citizens with Developmental Disabilities

SUMMARY OF INFORMATION

CONTRACTOR NAME Easter Seals Louisiana		Amount \$ 1,958,681.00
CONTRACT DATES Effective Date 05-01-2015 Termination Date 04-30-2018		BA-22 ATTACHED <input checked="" type="checkbox"/>

Certification Requirements: (Check Applicable Items)

- ☒ 1.
- Either no employee of this agency is both competent and available to perform the services called for by the proposed contract and/or the services called for are not the type readily susceptible of being performed by persons who are employed by the State on a continuing basis.
- ☒ 2.
- The services are not available as a product of a prior or existing professional, personal contract.
- ☒ 3.
- When applicable, the requirements for consultant contracts, as provided for under R.S. 39:1503-1507, have been complied with (proper documentation should be provided).
- ☒ 4.
- The using agency has developed and fully intends to implement a written plan providing for the assignment of specific using personnel to a monitoring and liaison function. Identify name of individual of staff unit responsible for monitoring this contract:

Name Brenda Sharp, Program Manager	Phone No. (225)342-0095
Location 628 N. 4th Street P.O. Box 3117 Bin 21 Baton Rouge, LA 70821-3117	

Summary of Monitoring Plan: (This must include periodic review of specified reports, documents, exception reporting, or other indicia or performance, etc.). Additional pages may be attached if necessary.

Monitoring will be achieved by receipt of all deliverables as listed on Attachment II including the review of monthly reports submitted and reports obtained through the central data system which will be monitored by the EarlySteps Program Manager.

The ultimate use of the final product of the services: (Specify)

Identify EarlySteps eligible infants and toddlers served under the Part C system thus meeting the federal benchmark of a least 2% served statewide.

- ☒ 5.
- Respond to questions A or B on all contracts except those funded by "Other Charges" (3600 series) of Budget:  
A. What critical services will go unprovided and to whom?  
Early intervention services would not be available to children in need.  
B. How many hours will the contractor have to work? N/A
- ☒ 6.
- Completed monitoring report will be submitted to the Office of Contractual Review within 60 days after termination of contract. (For Personal, Professional, Consulting contracts exceeding \$20,000)
- ☒ 7.
- The services have not been artificially divided to as to constitute a small purchase (not exceeding \$20,000).
- ☒ 8.
- A cost-benefit analysis has been conducted which indicates that obtaining such services from the private sector is more cost-effective than providing such services the agency itself or by any agreement with another state agency and includes both a short-term and long-term analysis and is available for review.
- ☒ 9.
- The cost basis for the proposed contract is justified and reasonable.
- ☒ 10.
- A description of the specific goals and objectives, deliverables, performance measures and a plan for monitoring the services to be provided are contained in the proposed contract.

PRIOR CONTRACT INFORMATION MUST BE FILLED OUT (IF NO PRIOR CONTRACT PUT N/A)

PRIOR YEAR SERVICES PROVIDED BY (Contractor Name): Easter Seals Louisiana			
CFMS#: 730483	DHH#: 060286	EFF: 07-01-2014	TERM: 04-30-2015
AMOUNT: \$ 391,497.00	PREVIOUSLY ISSUED UNDER RFP? IF YES, DATE: <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO DATE: 06-02-2011		



STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION  
BA-22 (REV. 09/2005)

Date: 4/2/2015 Dept/Budget Unit: 09/340/2000  
Agency Name: Office for Citizens with Developmental Disabi OCR/CFMS Contract #: 735294  
Agency BA-22 #: 35 Agency Contract #: \_\_\_\_\_

Fiscal Year for this BA-22: 2014-2015 BA-22 Start/End Dates: 05/01/15 06/30/15  
(yyyy-yy) (Start Date) (End Date)

Multi-year Contract (Yes/No): Yes If "Yes", provide contract dates:  
05/01/15 04/30/18  
(Start Date) (End Date)

Easter Seals Louisiana 72069437600  
(Contractor/Vendor Name) (Contractor/Vendor No.)

Contractor will provide System Point of Entry services with the Region 8 Parishes for Early Steps.  
(Provide a statement of "Services Provided")

Contract Amendment (Yes/No): NO Amendment Start/End Dates: \_\_\_\_\_  
(Start Date) (End Date)

Contract Cancellation (Yes/No): NO Date of Cancellation: \_\_\_\_\_

(Provide rationale for amendment or cancellation)

This information is to be provided at the Agency Level				
MEANS OF FINANCING	AMOUNT			
	Current Year	%	Total Contract	%
State General Fund	\$0	0%	\$0	0.0%
Interagency Transfers	\$0	0%	\$0	0.0%
Fees and Self Gen.	\$0	0.0%	\$0	0.0%
Statutory Dedication	\$0	0.0%	\$0	0.0%
Federal	\$104,292	100%	\$1,958,681	100.0%
TOTALS	\$104,292	100%	\$1,958,681	100.0%

\*Specify Source (i.e., grant name, fund name, IAT sending agency and revenue source, fee type and source, etc.)  
Are revenue collections for funds utilized above in line with budgeted amounts? (Yes/No) \_\_\_\_\_  
If not, explain. \_\_\_\_\_

This information is to be provided at the Agency Level	
Name of Object Code/Category:	Miscellaneous Charges
Object Code/Category Number:	3655
Amount Budgeted:	\$15,496,069
Amount Previously Obligated:	\$6,590,123
Amount this BA-22:	\$104,292
Balance:	\$8,801,654

The approval of the aforementioned contract will not cause this agency to be placed in an Object Category deficit.

Agency Contact: Clent Goff Reviewed/Approved By: Geetha Kumar  
Name: Clent Goff Name: Geetha Kumar  
Title: Program Manager 1 Title: Program Manager  
Phone: (225) 342-0943 Phone: (225) 342-8725

FOR AGENCY USE ONLY						
AGENCY	PROGRAM	ACTIVITY	ORGANIZ.	OBJECT	REPT CAT	AMOUNT
340	2000		8812	3655	8107	\$104,292.00

<b>AMENDMENT TO</b>		Amendment #: <u>1</u>
<b>AGREEMENT BETWEEN STATE OF LOUISIANA</b>		LAGOV#: <u>2000123313</u>
<b>LOUISIANA DEPARTMENT OF HEALTH</b>		LDH #: <u>060722</u>
<b>Office for Citizens with Developmental Disabilities</b>		
(Regional/ Program/ Facility	<u>EarlySteps, Louisiana's Early Intervention System</u>	Original Contract Amt <u>\$ 1,826,597.00</u>
<b>AND</b>		Original Contract Begin Date <u>05-01-2015</u>
<u>Southeastern Louisiana Area Health Education Center</u>		Original Contract End Date <u>04-30-2018</u>
<u>Contractor Name</u>		RFP Number: <u>305PUR-DHHRFP-SPQ5</u>

**AMENDMENT PROVISIONS**

Change Contract From: From Maximum Amount: \$ 1,826,597.00 Current Contract Term: 05/01/2015 - 04/30/2018

CF-1 Block 13 Maximum Contract Amount \$1,826,597 FY15 \$100,134 FY16 \$605,545, FY17 \$610,441, FY18 \$510,477

CF-1 Block 14 Terms of Payment: See Attachment III: Budget

Change Contract To: To Maximum Amount: \$ 3,050,963.00 Changed Contract Term: 5/01/2015 - 4/30/2020

CF-1 Block 13 Maximum Contract Amount \$3,050,963, FY15 \$100,134, FY16 \$605,545, FY17 \$610,441, FY18 \$510,477 (10 month), FY 18 \$101,687 (2 month), FY19 \$612,202, FY20 510,477

CF-1 Block 14 Terms of Payment: See Attachment III: Budget

Justifications for amendment:

The current contract, which was executed via RFP# 305PUR-DHHRFP-SPOE-2014-OCDD on May 1, 2015, expires on April 30, 2018. The RFP included an option to extend the resulting contract from 3 to 5 years. Since 2008, the RFP has been issued 3 times with no other qualified applicants competing. LDH/OCDD is satisfied with the performance of Southeastern Louisiana Area Health Education Center in meeting all deliverables and would like to exercise the option to extend the contract the allowable 24 months, in the Region 9 parishes for EarlySteps, the Louisiana's Early Intervention program.

This Amendment Becomes Effective: 05-01-2018

This amendment contains or has attached hereto all revised terms and conditions agreed upon by contracting parties.

IN WITNESS THEREOF, this amendment is signed and entered into on the date indicated below.

<b>CONTRACTOR</b>	<b>STATE OF LOUISIANA</b>
<b>Southeastern Louisiana Area Health Education Center</b>	<b>LOUISIANA DEPARTMENT OF HEALTH</b>
	<b>Secretary, Louisiana Department of Health or Designee</b>
<b>CONTRACTOR SIGNATURE</b>	<b>SIGNATURE</b>
<b>DATE</b>	<b>DATE</b>
PRINT NAME <u>Brian P. Jakes, Sr.</u>	NAME <u>Mark A. Thomas</u>
CONTRACTOR TITLE <u>Chief Executive Officer</u>	TITLE <u>Assistant Secretary</u>
	OFFICE <u>Office for Citizens with Developmental Disabilities</u>
	<b>PROGRAM SIGNATURE</b>
	<b>DATE</b>
	NAME

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	31.72	578	18,334	100	0	18,334
Intake Coordinator Sup/Data Manager	26.43	1,734	45,830	100	0	45,830
Intake Coordinator	18.26	1,734	31,663	100	0	31,663
Intake Coordinator	17.54	1,734	30,414	100	0	30,414
Intake Coordinator	17.54	1,734	30,414	100	0	30,414
Intake Coordinator	17.54	1,734	30,414	100	0	30,414
Intake Coordinator	17.54	1,734	30,414	100	0	30,414
Intake Coordinator	17.54	1,734	30,414	100	0	30,414
Admn Clerk	12.01	1,734	20,825	100	0	20,825
Total			268,722		0	268,722

Justification

Personnel Cost for Region 9. Program Director is approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA/Med	20,560	100	0	20,560
Health Insurance	46,570	100	0	46,570
Dental Insurance	3,590	100	0	3,590
Life Insurance	3,600	100	0	3,600
Mutual of America (retirement)	18,810	100	0	18,810
			0	0
Total	93,130		0	93,130

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 34.6568% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Intake Coordinator Supervisor/Data Manager	2,240	100	0	2,240
EI Consultant	2,240	100	0	2,240
Intake Coordinator	2,240	100	0	2,240
Intake Coordinator	2,240	100	0	2,240
Intake Coordinator	2,240	100	0	2,240
Intake Coordinator	2,240	100	0	2,240
Intake Coordinator	2,240	100	0	2,240
Intake Coordinator	2,240	100	0	2,240
			0	0
Total	17,920		0	17,920

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore eight staff will travel to 5 parishes in Region 9.

(13) Operating Services	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Rent (\$1500 x 10)	15,000	100	0	15,000
Utilities (\$208.33 x 10)	2,083	100	0	2,083
Telephone/Cell phone (\$1100 x 10)	11,000	100	0	11,000
Maintenance of Equipment (\$700 x 10)	7,000	100	0	7,000
IT/IT Audit (\$600 x 10)	6,000	100	0	6,000
Liability Insurance (\$225 x 10)	2,250	100	0	2,250
Workers Compensation (\$116.66 x 10)	1,167	100	0	1,167
Unemployment Insurance (\$85 x 10)	850	100	0	850
		100	0	0
Total	45,350		0	45,350

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

(14) Supplies	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Office-paper,pens,file folders, etc (\$2100 x 10)	21,000	100	0	21,000
			0	0
Total	21,000		0	21,000

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

(15) Professional Services	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
EI Consultant (\$1666.67 x 10)	16,667	100	0	16,667
Audit (\$240 x 10)	2,400	100	0	2,400
			0	0
Total	19,067		0	19,067

Justification

Audit services yearly. EI consultant is contracted to meet contract requirements.







LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Southeastern Louisiana Area Health Edu FROM: 7/1/19 TO: 4/30/20

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	268,722	0	268,722
RELATED BENEFITS	(41)	93,130	0	93,130
TRAVEL	(12)	17,920	0	17,920
OPERATING SERVICES	(13)	45,350	0	45,350
SUPPLIES	(14)	21,000	0	21,000
PROFESSIONAL SVCS	(15)	19,067	0	19,067
CAPITAL ASSETS	(16)	1,000	0	1,000
ADMINISTRATIVE	(17)	44,288	0	44,288
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		510,477	0	510,477

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	31.72	115	3,648	100	0	3,648
Intake Coordinator Sup/Data Manager	26.43	346	9,145	100	0	9,145
Intake Coordinator	18.26	346	6,318	100	0	6,318
Intake Coordinator	17.54	346	6,069	100	0	6,069
Intake Coordinator	17.54	346	6,069	100	0	6,069
Intake Coordinator	17.54	346	6,069	100	0	6,069
Intake Coordinator	17.54	346	6,069	100	0	6,069
Intake Coordinator	17.54	346	6,069	100	0	6,069
Admn Clerk	12.01	346	4,155	100	0	4,155
Total			53,611		0	53,611

Justification

Personnel Cost for Region 9. Program Director is approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA/Med	4,112	100	0	4,112
Health Insurance	9,314	100	0	9,314
Dental Insurance	718	100	0	718
Life Insurance	720	100	0	720
Mutual of America (retirement)	3,723	100	0	3,723
			0	0
			0	0
			0	0
Total	18,587		0	18,587

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 34.6709% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Intake Coordinator Supervisor/Data Manager	448	100	0	448
EI Consultant	448	100	0	448
Intake Coordinator	448	100	0	448
Intake Coordinator	448	100	0	448
Intake Coordinator	448	100	0	448
Intake Coordinator	448	100	0	448
Intake Coordinator	448	100	0	448
Intake Coordinator	448	100	0	448
			0	0
Total	3,584		0	3,584

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore eight staff will travel to 5 parishes in Region 9.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$1500 x 2)	3,000	100	0	3,000
Utilities (\$208.33 x 2)	417	100	0	417
Telephone/Cell phone (\$1100 x 2)	2,200	100	0	2,200
Maintenance of Equipment (\$700 x 2)	1,400	100	0	1,400
IT/IT Audit (\$600 x 2)	1,200	100	0	1,200
Liability Insurance (\$225 x 2)	450	100	0	450
Workers Compensation (\$116.66 x 2)	233	100	0	233
Unemployment Insurance (\$85 x 2)	170	100	0	170
		100	0	0
<b>Total</b>	<b>9,070</b>		<b>0</b>	<b>9,070</b>

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Office-paper,pens,file folders, etc (\$2100 x 2)	4,200	100	0	4,200
			0	0
			0	0
<b>Total</b>	<b>4,200</b>		<b>0</b>	<b>4,200</b>

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
EI Consultant (\$1666.67 x 2)	3,333	100	0	3,333
Audit (\$240 x 2)	480	100	0	480
			0	0
<b>Total</b>	<b>3,813</b>		<b>0</b>	<b>3,813</b>

Justification

Audit services yearly. EI consultant is contracted to meet contract requirements.





LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Southeastern Louisiana Area Health Educ FROM: 5/1/18 TO: 6/30/18

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	53,611	0	53,611
RELATED BENEFITS	(41)	18,587	0	18,587
TRAVEL	(12)	3,584	0	3,584
OPERATING SERVICES	(13)	9,070	0	9,070
SUPPLIES	(14)	4,200	0	4,200
PROFESSIONAL SVCS	(15)	3,813	0	3,813
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	8,822	0	8,822
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		101,687	0	101,687

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					



LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	31.72	693	21,982	100	0	21,982
Intake Coordinator Sup/Data Manager	26.43	2,080	54,974	100	0	54,974
Intake Coordinator	18.26	2,080	37,981	100	0	37,981
Intake Coordinator	17.54	2,080	36,483	100	0	36,483
Intake Coordinator	17.54	2,080	36,483	100	0	36,483
Intake Coordinator	17.54	2,080	36,483	100	0	36,483
Intake Coordinator	17.54	2,080	36,483	100	0	36,483
Intake Coordinator	17.54	2,080	36,483	100	0	36,483
Admn Clerk	12.01	2,080	24,981	100	0	24,981
Total			322,333		0	322,333

Justification

Personnel Cost for Region 9. Program Director is approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA/Med	24,672	100	0	24,672
Health Insurance	55,884	100	0	55,884
Dental Insurance	4,308	100	0	4,308
Life Insurance	4,320	100	0	4,320
Mutual of America (retirement)	22,572	100	0	22,572
			0	0
Total	111,756		0	111,756

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 34.6709% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Intake Coordinator Supervisor/Data Manager	2,687	100	0	2,687
EI Consultant	2,687	100	0	2,687
Intake Coordinator	2,687	100	0	2,687
Intake Coordinator	2,687	100	0	2,687
Intake Coordinator	2,688	100	0	2,688
Intake Coordinator	2,688	100	0	2,688
Intake Coordinator	2,688	100	0	2,688
Intake Coordinator	2,688	100	0	2,688
			0	0
Total	21,500		0	21,500

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore eight staff will travel to 5 parishes in Region 9.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$1500 x 12)	18,000	100	0	18,000
Utilities (\$208.33 x 12)	2,500	100	0	2,500
Telephone/Cell phone (\$1100 x 12)	13,200	100	0	13,200
Maintenance of Equipment (\$700 x 12)	8,400	100	0	8,400
IT/IT Audit (\$600 x 12)	7,200	100	0	7,200
Liability Insurance (\$225 x 12)	2,700	100	0	2,700
Workers Compensation (\$116.66 x 12)	1,400	100	0	1,400
Unemployment Insurance (\$85 x 12)	1,020	100	0	1,020
		100	0	0
<b>Total</b>	<b>54,420</b>		<b>0</b>	<b>54,420</b>

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Office-paper,pens,file folders, etc (\$2100 x 12)	25,200	100	0	25,200
			0	0
<b>Total</b>	<b>25,200</b>		<b>0</b>	<b>25,200</b>

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
EI Consultant (\$1666.67 x 12)	20,000	100	0	20,000
Audit (\$240 x 12)	2,880	100	0	2,880
			0	0
<b>Total</b>	<b>22,880</b>		<b>0</b>	<b>22,880</b>

Justification

Audit services yearly. EI consultant is contracted to meet contract requirements.





LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Southeastern Louisiana Area Health Educ FROM: 7/1/18 TO: 4/30/19

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	322,333	0	322,333
RELATED BENEFITS	(41)	111,756	0	111,756
TRAVEL	(12)	21,500	0	21,500
OPERATING SERVICES	(13)	54,420	0	54,420
SUPPLIES	(14)	25,200	0	25,200
PROFESSIONAL SVCS	(15)	22,880	0	22,880
CAPITAL ASSETS	(16)	1,000	0	1,000
ADMINISTRATIVE	(17)	53,113	0	53,113
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		612,202	0	612,202

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

CONTRACT BETWEEN STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS

CFMS: 735292

DHH: 060722

Office for Citizens with Developmental Disabilities

Agency # 340

EarlySteps, Louisiana's Early Intervention System

AND

Southeastern Louisiana Area Health Education Center

FOR

☐ Personal Services ☐ Professional Services ☐ Consulting Services ☒ Social Services

1) Contractor (Legal Name if Corporation) Southeastern Louisiana Area Health Education Center			5) Federal Employer Tax ID# or Social Security # 72115501400 (Must be 11 Digits)	
2) Street Address 1302 J.W. Davis Drive			6) Parish(es) Served 32, 46, 52, 53, 59	
City Hammond	State LA	Zip Code 70403	7) License or Certification # NA	
3) Telephone Number (985) 345-1119			8) Contractor Status  Subrecipient: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Corporation: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No For Profit: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Publicly Traded: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
4) Mailing Address (if different)				
City	State	Zip Code	8a) CFDA#(Federal Grant #) 84.181A	

9) Brief Description Of Services To Be Provided:  
Contractor will provide System Point of Entry (SPOE) services with the Region 9 parishes for EarlySteps, Louisiana's Early Intervention System and its eligible infants & toddler from birth to three as regulated under Part C of the Individuals with Disabilities Education Improvement Act (IDEA). Contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and supporting the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family . The contractor will maintain electronic and hard copy paper files of the early intervention records. Contractor shall perform work in accordance with Attachment II: Statement of Work.

10) Effective Date 05-01-2015	11) Termination Date 04-30-2018
-------------------------------	---------------------------------

12) This contract may be terminated by either party upon giving thirty (30) days advance written notice to the other party with or without cause but in no case shall continue beyond the specified termination date.

13) Maximum Contract Amount \$ 1,826,597.00 14/15-100,134 15/16-605,545 16/17-610,441 17/18 - 510,477

14) Terms of Payment  
If progress and/or completion of services are provided to the satisfaction of the initiating Office/Facility, payments are to be made as follows:  
Fiscal will pay invoices within (20) days after receipt.

Travel will be reimbursed in accordance with PPM 49.

Authorization for payment will be made upon submission of deliverables summarized within monthly report and itemized invoices after approval from the Program Manager. Contractor will be paid on a cost reimbursement basis in accordance with attached budget.

Contractor obligated to submit final invoices to Agency within fifteen (15) days after termination of contract.

PAYMENT WILL BE MADE ONLY UPON APPROVAL OF:	First Name Brenda	Last Name Sharp
	Title Program Manager	Phone Number (225) 342-0095

15) Special or Additional Provisions which are incorporated herein, if any (IF NECESSARY, ATTACH SEPARATE SHEET AND REFERENCE):

Attachment I: HIPAA Addendum	Exhibit I: Board Resolution
Attachment II: Statement of Work	Exhibit II: Multi Year Letter
Attachment III: Budget	
Attachment IV: Monthly Invoice	
Attachment V: SPOE Monthly Report	
Attachment VI: Order of Precedence	



**During the performance of this contract, the Contractor hereby agrees to the following terms and conditions:**

1. Contractor hereby agrees to adhere as applicable to the mandates dictated by Titles VI and VII of the Civil Rights Act of 1964, as amended; the Vietnam Era Veterans' Readjustment Assistance Act of 1974; Americans with Disabilities Act of 1990 as amended; the Rehabilitation Act of 1973 as amended; Sec. 202 of Executive Order 11246 as amended, and all applicable requirements imposed by or pursuant to the regulations of the U. S. Department of Health and Human Services. Contractor agrees not to discriminate in the rendering of services to and/or employment of individuals because of race, color, religion, sex, age, national origin, handicap, political beliefs, disabled veteran, veteran status, or any other non-merit factor.
2. Contractor shall abide by the laws and regulations concerning confidentiality which safeguard information and the patient/client confidentiality. Information obtained shall not be used in any manner except as necessary for the proper discharge of Contractor's obligations. (The Contractor shall establish, subject to review and approval of the Department, confidentiality rules and facility access procedures.)
3. The State Legislative Auditor, Office of the Governor, Division of Administration, and Department Auditors or those designated by the Department shall have the option of auditing all accounts pertaining to this contract during the contract and for a three year period following final payment. Contractor grants to the State of Louisiana, through the Office of the Legislative Auditor, Department of Health and Hospitals, and Inspector General's Office, Federal Government and/or other such officially designated body the right to inspect and review all books and records pertaining to services rendered under this contract, and further agrees to guidelines for fiscal administration as may be promulgated by the Department. Records will be made available during normal working hours.

Contractor shall comply with federal and state laws and/or DHH Policy requiring an audit of the Contractor's operation as a whole or of specific program activities. Audit reports shall be sent within thirty (30) days after the completion of the audit, but no later than six (6) months after the end of the audit period. If an audit is performed within the contract period, for any period, four (4) copies of the audit report shall be sent to the Department of Health and Hospitals, Attention: **Division of Fiscal Management, P.O. Box 91117, Baton Rouge, LA 70821-3797** and one (1) copy of the audit shall be sent to the **originating DHH Office**.

4. Contractor agrees to retain all books, records and other documents relevant to the contract and funds expended thereunder for at least four (4) years after final payment or as prescribed in 45 CFR 74:53 (b) whichever is longer. Contractor shall make available to the Department such records within thirty (30) days of the Department's written request and shall deliver such records to the Department's central office in Baton Rouge, Louisiana, all without expense to the Department. Contractor shall allow the Department to inspect, audit or copy records at the contractor's site, without expense to the Department.
5. Contractor shall not assign any interest in this contract and shall not transfer any interest in the same (whether by assignment or novation), without written consent of the Department thereto, provided, however, that claims for money due or to become due to Contractor from the Department under this contract may be assigned to a bank, trust company or other financial institution without advanced approval. Notice of any such assignment or transfer shall be promptly furnished to the Department and the Division of Administration, Office of Contractual Review.
6. Contractor hereby agrees that the responsibility for payment of taxes from the funds received under this contract shall be Contractor's. The contractor assumes responsibility for its personnel providing services hereunder and shall make all deductions for withholding taxes, and contributions for unemployment compensation funds.
7. Contractor shall obtain and maintain during the contract term all necessary insurance including automobile insurance, workers' compensation insurance, and general liability insurance. The required insurances shall protect the Contractor, the Department of Health and Hospitals, and the State of Louisiana from all claims related to Contractor's performance of this contract. Certificates of Insurance shall be filed with the Department for approval. Said policies shall not be canceled, permitted to expire, or be changed without thirty (30) days advance written notice to the Department. Commercial General Liability Insurance shall provide protection during the performance of work covered by the contract from claims or damages for personal injury, including accidental death, as well as claims for property damages, with combined single limits prescribed by the Department.
8. In cases where travel and related expenses are required to be identified separate from the fee for services, such costs shall be in accordance with State Travel Regulations. The contract contains a maximum compensation which shall be inclusive of all charges including fees and travel expenses.
9. No funds provided herein shall be used to urge any elector to vote for or against any candidate or proposition on an election ballot nor shall such funds be used to lobby for or against any proposition or matter having the effect of law being considered by the legislature or any local governing authority. This provision shall not prevent the normal dissemination of factual information relative to a proposition or any election ballot or a proposition or matter having the effect of law being considered by the legislature or any local governing authority. Contracts with individuals shall be exempt from this provision.
10. Should contractor become an employee of the classified or unclassified service of the State of Louisiana during the effective period of the contract, Contractor must notify his/her appointing authority of any existing contract with State of Louisiana and notify the contracting office of any additional state employment. This is applicable only to contracts with individuals.

11. All non-third party software and source code, records, reports, documents and other material delivered or transmitted to Contractor by State shall remain the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract. All non-third party software and source code, records, reports, documents, or other material related to this contract and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract.

12. Contractor shall not enter into any subcontract for work or services contemplated under this contract without obtaining prior written approval of the Department. Any subcontracts approved by the Department shall be subject to conditions and provisions as the Department may deem necessary; provided, however, that notwithstanding the foregoing, unless otherwise provided in this contract, such prior written approval shall not be required for the purchase by the contractor of supplies and services which are incidental but necessary for the performance of the work required under this contract. No subcontract shall relieve the Contractor of the responsibility for the performance of contractual obligations described herein.

13. No person and no entity providing services pursuant to this contract on behalf of contractor or any subcontractor is prohibited from providing such services by the provisions of R.S. 42:1113 as amended in the 2008 Regular Session of the Louisiana Legislature.

14. No claim for services furnished or requested for reimbursement by Contractor, not provided for in this contract, shall be allowed by the Department. In the event the Department determines that certain costs which have been reimbursed to Contractor pursuant to this or previous contracts are not allowable, the Department shall have the right to set off and withhold said amounts from any amount due the Contractor under this contract for costs that are allowable.

15. This contract is subject to and conditioned upon the availability and appropriation of Federal and/or State funds; and no liability or obligation for payment will develop between the parties until the contract has been approved by required authorities of the Department; and, if contract exceeds \$20,000, the Director of the Office of Contractual Review, Division of Administration in accordance with La. R.S. 39:1502..

16. The continuation of this contract is contingent upon the appropriation of funds from the legislature to fulfill the requirements of the contract. If the Legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds are not appropriated.

17. Any alteration, variation, modification, or waiver of provisions of this contract shall be valid only when reduced to writing, as an amendment duly signed, and approved by required authorities of the Department; and, if contract exceeds \$20,000, approved by the Director of the Office of Contractual Review, Division of Administration. Budget revisions approved by both parties in cost reimbursement contracts do not require an amendment if the revision only involves the realignment of monies between originally approved cost categories.

18. Any contract disputes will be interpreted under applicable Louisiana laws and regulations in Louisiana administrative tribunals or district courts as appropriate.

19. Contractor will warrant all materials, products and/or services produced hereunder will not infringe upon or violate any patent, copyright, trade secret, or other proprietary right of any third party. In the event of any such claim by any third party against DHH, the Department shall promptly notify Contractor in writing and Contractor shall defend such claim in DHH's name, but at Contractor's expense and shall indemnify and hold harmless DHH against any loss, expense or liability arising out of such claim, whether or not such claim is successful. This provision is not applicable to contracts with physicians, psychiatrists, psychologists or other allied health providers solely for medical services.

20. Any equipment purchased under this contract remains the property of the Contractor for the period of this contract and future continuing contracts for the provision of the same services. Contractor must submit vendor invoice with reimbursement request. For the purpose of this contract, equipment is defined as any tangible, durable property having a useful life of at least (1) year and acquisition cost of \$1000.00 or more. The contractor has the responsibility to submit to the Contract Monitor an inventory list of DHH equipment items when acquired under the contract and any additions to the listing as they occur. Contractor will submit an updated, complete inventory list on a quarterly basis to the Contract Monitor. Contractor agrees that upon termination of contracted services, the equipment purchased under this contract reverts to the Department. Contractor agrees to deliver any such equipment to the Department within 30 days of termination of services.

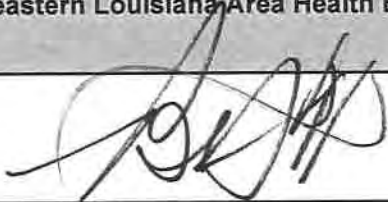
21. Contractor agrees to protect, indemnify and hold harmless the State of Louisiana, DHH, from all claims for damages, costs, expenses and attorney fees arising in contract or tort from this contract or from any acts or omissions of Contractor's agents, employees, officers or clients, including premises liability and including any claim based on any theory of strict liability. This provision does not apply to actions or omissions for which LA R.S. 40:1299.39 provides malpractice coverage to the contractor, nor claims related to treatment and performance of evaluations of persons when such persons cause harm to third parties (R.S. 13:5108.1(E)). Further it does not apply to premises liability when the services are being performed on premises owned and operated by DHH.

22. Any provision of this contract is severable if that provision is in violation of the laws of the State of Louisiana or the United States, or becomes inoperative due to changes in State and Federal law, or applicable State or Federal regulations.

23. Contractor agrees that the current contract supersedes all previous contracts, negotiations, and all other communications between the parties with respect to the subject matter of the current contract.

**THIS CONTRACT CONTAINS OR HAS ATTACHED HERETO ALL THE TERMS AND CONDITIONS AGREED UPON BY THE CONTRACTING PARTIES. IN WITNESS THEREOF, THIS CONTRACT IS SIGNED ON THE DATE INDICATED BELOW.**

Southeastern Louisiana Area Health Education Center



March 11, 2015

SIGNATURE

DATE

Brian P. Jakes, Sr.

NAME

Chief Executive Officer

TITLE

STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS

SIGNATURE

DATE

Kathy Kliebert

NAME

Secretary, Department of Health and Hospital or Designee

TITLE

EarlySteps, Louisiana's Early Intervention System

Office for Citizens with Developmental Disabilities



5-15-15

SIGNATURE

DATE

Brenda Sharp

NAME

Program Manager

TITLE

SIGNATURE

DATE

Mark A. Thomas

NAME

Assistant Secretary

TITLE

## HIPAA Business Associate Addendum

This HIPAA Business Associate Addendum is hereby made a part of this contract in its entirety as Attachment \_\_\_\_\_ to the contract.

1. The Louisiana Department of Health and Hospitals ("DHH") is a Covered Entity, as that term is defined herein, because it functions as a health plan and as a health care provider that transmits health information in electronic form.
2. Contractor is a Business Associate of DHH, as that term is defined herein, because contractor either: (a) creates, receives, maintains, or transmits PHI for or on behalf of DHH; or (b) provides legal, actuarial, accounting, consulting, data aggregation, management, administrative, accreditation, or financial services for DHH involving the disclosure of PHI.
3. Definitions: As used in this addendum –
  - A. The term "HIPAA Rules" refers to the federal regulations known as the HIPAA Privacy, Security, Enforcement, and Breach Notification Rules, found at 45 C.F.R. Parts 160 and 164, which were originally



### Office of State Procurement PROACT Contract Certification of Approval

**This certificate serves as confirmation that the Office of State Procurement has reviewed and approved the contract referenced below.**

**Reference Number:** 735292

**Vendor:** Southeastern Louisiana Area Health Education Center

**Description:** The contractor will provide System Point of Entry (SPOE) in Region 9.

**Approved By:** Pamela Rice

**Approval Date:** 6/30/2015

The above referenced number has been assigned by this office and will be used as identification for the approved contract. Please use this number when referring to the contract in any future correspondence or amendment(s).

The Internal Revenue Service (IRS) may find that this contract creates an employment relationship between your agency and the contractor. You should be advised that your agency is responsible for all taxes and penalties if such a finding is forthcoming. It is incumbent upon your agency to determine if an employee/employer relationship exists. Your agency must make the appropriate withholdings in accordance with law and IRS regulations, if applicable.

## ATTACHMENT II

### Statement of Work

#### **GOAL/PURPOSE**

The contractor will provide System Point of Entry services to infants and toddlers (birth to three years old) who have developmental delays or diagnosed medical conditions likely to result in developmental delays in accordance with the Individuals with Disabilities Education Improvement Act (IDEA). The contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family in EarlySteps, Louisiana's IDEA Part C system.

#### **Deliverable 1**

The contractor shall provide qualified and trained Intake Support Coordinators to provide the required services outlined below and to function as the EarlySteps initial point of contact for the designated region.

**Deliverable 1.1:** Contractor will receive referrals from a parent, family member, physician, teacher, service providers, agencies, etc. Contractor will respond to each referral within specified timelines, and the following services will be offered: intake coordination via face-to-face interview and/or telephone contact, screening of the child, review of referral information and concerns, access of other health or evaluation information. The contractor must conduct the face-to-face interview with the family in their natural environment unless otherwise arranged with the family and with documentation that supports the family's decision.

**Deliverable 1.2:** Contractor will ensure that completion of the initial face-to-face interview with the family will include providing the following information: introduction of the family to the EarlySteps system and providing to the family, in the family's primary language or other mode of communication (including in writing), their procedural safeguards and their right to due process under IDEA-Part C in 34 CFR 303.400-438 related to intake and eligibility procedures.

**Deliverable 1.3:** Contractor will receive informed written consent from the parent/legal guardian to participate in the EarlySteps system in order to proceed with the intake process, eligibility process, accessing of information requests and initial IFSP development.

**Deliverable 1.4:** Contractor will request and document receipt of information from appropriate health, medical, educational, and other community services providers with parental consent.

**Outcome 1.5:** Contractor will complete the family interview and developmental screening of each referred child using the Ages and Stages Questionnaire or other tool approved by EarlySteps for children referred for developmental delay.

**Deliverable 1.6:** Contractor will ensure receipt of all relevant information from the family to complete intake process including: Medicaid eligibility verification, insurance and income verification and eligibility for and referral to other community programs/services.

- The SPOE shall verify Medicaid eligibility according to the requirements specified in Chapter 4 of the Practice Manual located at <http://www.earlysteps.dhh.louisiana.gov>.

**Deliverable 1.7:** Contractor will conduct a determination of need coordinated with the EarlySteps central and regional office staff, to access the surrogate parent system. The contractor's role shall include: Submitting any such names and addresses to OCDD for appropriate surrogate parent action, using the state-developed form; assisting OCDD in recruiting surrogate parent volunteers; assisting OCDD with local surrogate parent training if necessary; reviewing the child's situation in regards to whether a parent or guardian is present; and determining if a referred child would benefit from a surrogate parent. Within ten (10) business days of the child's initial referral to the contractor, the contractor must complete and return to OCDD the designated form for each child believed to be eligible to receive a surrogate appointment based on the criteria set forth under 34 CFR 303.406. OCDD shall appoint a surrogate parent and inform the contractor of the appointment.

**Deliverable 1.8:** Contractor will send an acknowledgement of receipt of referral form to referral sources using a standard acknowledgement letter provided by EarlySteps.

**Deliverable 1.9:** Contractor will send certified letters to families when contact attempts fail.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of referrals processed within 3 business days.
- Documentation of percentage of face-to-face interviews with families within 10 business days.
- Documentation of percentage of referral acknowledgements sent within 5 business days.

## ATTACHMENT II

### Statement of Work

- Documentation of percentage of certified letters sent to families after 3 documented contact attempts.
- Reports reflect accuracy of chart data within acceptable parameters as determined in monitoring activities.
- Documentation that parent CQI survey results shall be conducted by the contractor and consistent with targets set for the Louisiana Annual Performance Report (APR) for Indicator 4 for appropriate SPOE region. The APR is posted on the EarlySteps website.

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports
- Review results of parent survey data
- Review chart for required activity documentation

#### **Deliverable 2: Conduct Eligibility Determination Process**

The contractor shall coordinate eligibility determination for each child who enters the process following screening, arrange for the eligibility evaluator, early intervention consultant, family, and other multidisciplinary team members as appropriate, and facilitate the eligibility and/or IFSP team meetings. (Approximately 5,100 eligibility evaluations were coordinated by the SPOEs in 2012-13).

Deliverable 2.1: Contractor will collect relevant assessments and evaluations shall be collected from other sources including the referral source.

Deliverable 2.2: Contractor will assemble appropriate multidisciplinary team to review the referral information and previous assessment/medical information and to participate in the eligibility determination process in accordance with IDEA Part C regulations and EarlySteps policies. This team shall be an in-house multidisciplinary team with experience with evaluating infants and toddlers with disabilities, including the early intervention consultant, and/or shall be selected from the EarlySteps-enrolled early intervention evaluation providers. Payment for the EarlySteps-enrolled evaluators will be billed by them separately according to current EarlySteps process, not through the SPOE contractor.

Deliverable 2.3: Contractor will complete the determination of eligibility as required under IDEA Part C IDEA and state and federal regulations, the EarlySteps Practice Manual and the training modules: Making Informed Decisions, Battelle Developmental-2 Inventory and the Autism Screening module. Autism screening shall be conducted with children 18 months of age and annually thereafter.

Deliverable 2.4: Contractor will conduct referrals to community supports and resources and other services, including referral for EPSDT case management for children not eligible for EarlySteps.

#### **Performance Measures**

Contractor shall provide or maintain:

- The contractor shall meet the timelines specified in the RFP. EIDS captures the data based on SPOE performance. Reports shall be generated based on these activities. In addition the SPOE shall submit a monthly performance report which is included as Attachment XI. Accurate completion of data entry results shall be in successfully issued authorizations.
- Documentation of percentage of children processed from referral to initial IFSP within 45 calendar days, consistent with targets for APR and regional targets as specified in Attachment VIII
- Documentation of parent CQI survey results shall be consistent with targets set in Louisiana APR Indicator 4
- Documentation of identification of children shall be referred to EPSDT by the Bureau of Health Services Financing contractor
- Documentation of the number of eligibility evaluations completed by the multidisciplinary eligibility team

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports and self-assessments
- Review of the results of parent survey data.
- Review of chart for required documentation



## ATTACHMENT II

### Statement of Work

#### **Deliverable 3: Assess family concerns, priorities, and resources and develop initial Individualized Family Service Plan (IFSP)**

The contractor will coordinate the results of the evaluation and assessment process including the family-directed assessment, information collected during the intake process, results of the evaluation and assessment data, using a team-based model, which supports decision-making necessary to develop the IFSP as specified below:

**Deliverable 3.1:** Contractor will ensure that family concerns, priorities and resources are accurately reflected in the IFSP following an assessment conducted as part of the eligibility determination process for families of eligible children.

**Deliverable 3.2:** Contractor will ensure that the family chooses a Family Service Coordinator and Providers from the Service Matrix.

**Deliverable 3.3:** Contractor will ensure that an IFSP team is assembled that consist of the following members:

- Parent(s) of the child
- Other family members, requested by the parent(s)
- An advocate or other person(s) requested by the family,
- The Family Service Coordinator selected by the family at the time of the initial referral, as defined under 34 CFR 303.34 that has been designated responsible for the implementation of the IFSP.
- Person(s) involved in conducting the evaluations and assessments, in-person or through other means, such as participation by telephone conference call or through pertinent records that are available at the meeting. A knowledgeable authorized representative may also attend the meeting as a substitute for the person unable to attend [34 CFR 303.343 (a) (v)], and
- Service providers [34 CFR 303.343 (a) (vi)] as appropriate.

**Deliverable 3.4:** Contractor will complete the initial IFSP within 45 calendar days of referral that identify child and family priorities according to IFSP requirements.

**Deliverable 3.5:** Contractor will complete referrals and transition activities for children referred to the OCDD and the local education agency (LEA) prior to the child's 3rd birthday according to EarlySteps and OCDD policy. Referrals to other resource agencies, such as Families Helping Families, Child Care Resource and Referral Agencies, Head Start and Early Head Start, etc., identified during intake process shall be made.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of completion of activities associated with referral, eligibility determination, and initial IFSP within 45calendar days.
- Documentation that IFSPs are complete and accurately identify child and family outcomes from assessment process
- Documentation of average costs of services within service guidelines  
EarlySteps utilizes Service Guidelines called IFSP Team services process found in Chapter 6 of the Practice Manual which outlines a process based upon 24 hours of services in 6 months. These are the service guidelines referred to in the RFP from which average per child costs can be determined. Average per child costs are typically \$2100 per child for service costs only. Variations from this guideline are allowable according to the defined process. SPOEs shall follow the guidelines in the development of the initial IFSP so that cost effectiveness is demonstrated.
- Documentation of percentage of IFSPs completed which meet targets for Louisiana APR indicators 1, 2, 7, and 8

#### **Monitoring Plan**

The contract monitor will:

- Review of chart for hard copy of IFSP, transition meeting and documentation of referrals sent to OCDD and the LEA
- Review of EIDS data is within established parameters for region according to quarterly EIDS reports
- Review of Corrective Action Plans developed and timely correction of any targets not met
- Review of monthly report submitted to regional and central office staff. Attachment XI of the RFP outlines the data that EarlySteps requires for monthly reporting by the SPOE.
- Review evidence of team process in IFSP development according to signatures of participating members.

## ATTACHMENT II

### Statement of Work

**Deliverable 4: Provide administrative functions related to collecting family financial information, issuing service authorizations and data entry for the Central Finance Office (CFO).**

The contractor will perform activities which support timely service delivery for enrolled infants and toddlers and accurate, timely data reporting as specified below:

**Deliverable 4.1:** Contractor will submit Service authorizations to the CFO within 2 business days of the initial IFSP meeting.

**Deliverable 4.2:** Contractor will ensure that subsequent service authorizations are received from and processed for the FSC and service providers within 3 days following an IFSP review /revision.

**Deliverable 4.3:** Contractor will ensure that each child's Master record is maintained as specified below.

**Deliverable 4.4:** Contractor will ensure that data uploads to CFO are conducted according to the established schedule.

**Deliverable 4.5:** Contractor will ensure that Family income information is collected during the intake process for entry into EIDS and issuance of the Family Cost Participation Notice Statement. Ongoing financial data entry will occur annually as well.

**Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of IFSPs completed which shall meet targets for Louisiana APR Indicators 1, 2, 7, and 8
- Documentation of IFSP services fully authorized for initial service provision shall occur within 30 days of parent consent. Service providers shall be able to provide timely services following access to service authorizations
- Documentation of Family Cost Share shall be accurately calculated requiring a minimum of system adjustments following entry

**Monitoring Plan**

The contract monitor will:

- Review chart for master copy of IFSP and other documentation for child master record
- Review provider billing processed by CFO and Medicaid
- Review EIDS data within state-established parameters

**Deliverable 5: Establish and Maintain Record Keeping System according to Federal and State Requirements**

The contractor shall establish and maintain records for each child as well as in support of business operations as specified below:

**Deliverable 5.1:** Contractor will maintain all early intervention records shall be maintained in accordance with the applicable regulations under IDEA, Family Education Rights and Privacy Act (FERPA) and Education Department General Accounting Rules (EDGAR), including hard copy paper file and electronic file record, as described below, regardless of the outcome of the intake process (i.e. eligible or not, accept or decline services, etc.).

**Deliverable 5.2:** Contractor will use the Early Intervention data system software (EIDS) operated by the CFO contractor for accurate data entry as the link between the contractor's records and the EIDS. EIDS is provided at no cost to the contractor.

**Deliverable 5.3:** Contractor will obtain all notices of actions and consents; family support coordination documentation including meeting notifications, IFSP reviews/evaluations, new IFSPs, correspondence, family income information, and releases in the hard copy file record in the format required shall be maintained.

**Deliverable 5.4:** Contractor will utilize required EarlySteps forms for record keeping according to the instructions provided in the EarlySteps Practice Manual.

**Deliverable 5.5:** Contractor will ensure data entry in EIDS is accurate such that OCDD is able to:

- Identify gaps in the local service delivery system and the need for resource development, personnel recruitment, etc.;

## ATTACHMENT II

### Statement of Work

- Conduct financial forecasting, fund acquisition, and other reporting functions accurately
- Verify required system components (e.g. IFSP, releases, consents, etc.) are completed according to state and federal regulations.
- Submit eligibility verification and prior authorization data to Molina the fiscal intermediary for the Bureau of Health Services Financing.

**Deliverable 5.6:** Contractor will ensure all child and family information, medical records, and data elements collected, maintained or used in the administration of the contract from unauthorized disclosure as set forth under 34 CFR 303.406 shall be protected according to:

- Safeguards that restrict the use or disclosure of information concerning children and families to purposes directly connected with the administration of the contract.
- Records, reports, documentation, data, and material developed or acquired by the contractor, as a direct requirement specified in the contract shall become the property of the State of Louisiana.
- Information gained by the contractor as a result of the activities conducted under the contract shall be confidential, and no reports, documentation, or material prepared as required by or obtained through the contract shall be released to the public without the prior written consent of OCDD and must include the identification of EarlySteps, OCDD and the State of Louisiana.
- Signatures obtained from all employees or subcontractors of the contractor agreeing to the confidentiality provisions of the contract as required by the OCDD.

**Deliverable 5.7:** Contractor will maintain financial, time, and accounting records and evidence pertaining to the contract in accordance with generally accepted accounting principles and other procedures as specified by DHH/OCDD. These records must be made available to DHH/OCDD, and/or its designees, and the legislative auditor during the contract period, any renewal period, and for the period of time specified below for retention of records.

**Deliverable 5.8:** Contractor will securely store books, records, evidence, and other documents relevant to the contract for a period of four (4) years after final payment and the completion of an audit (if an audit is performed). Any records or documents involved in, related to, or required for any litigation, claim, negotiation, audit, or other such action must be retained until the resolution of the action, or until four years have passed after final payment and completion of any required audit, whichever is later. The contractor shall allow authorized representatives of the State of Louisiana agencies and the federal government to inspect these records upon request.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of records is complete, accurate and meets Federal and State Requirements.
- Evidence that hard copy documentation shall be consistent with EIDS data.
- Documentation of records are maintained according to the required timelines

#### **Monitoring Plan**

The contract monitor will:

- Review charts
- Conduct agency Audits
- Review Data Report

#### **Deliverable 6: Hire and Train staff to meet functions of SPOE office (see Attachment VI for Job Descriptions)**

The Contractor will conduct activities which meet personnel requirements and needs of the region as specified below. Key personnel commitments made in the contract shall only be changed with prior written approval of DHH/OCDD. The contractor shall be responsible for the training and education of new personnel at the contractor's expense. DHH/OCDD shall not be liable for any cost related to the training or education of new or substitute staff.

**Deliverable 6.1:** Contractor will hire personnel who will demonstrate effective service provision as required in the contract and meet qualifications specified.

**Deliverable 6.2:** Contractor will hire appropriate number of staff necessary to provide all required services.

**Deliverable 6.3:** Contractor will hire staff members that meet specified qualifications.

**Deliverable 6.4:** Contractor will provide additional necessary support (such as data support) to assist the Intake Service Coordinators in providing the services required herein.

## ATTACHMENT II

### Statement of Work

**Deliverable 6.5:** Contractor and/or sub-contractor will, if requested by DHH, provide all necessary authorizations for the background checks for all personnel. The contractor must arrange for background checks for required staff according to requirements of the Department of Children and Family Services. This requirement states that an employee or subcontractor of the contractor must pass a background check prior to employment and or initiation of a contract and every three years thereafter or according to the requirements of RS 49:950 et seq. (The State reserves the right to conduct a background check on any contractor or sub-contractor personnel).

#### Performance Measures

Contractor shall provide or maintain:

- Supporting documentation that all staff meets specified qualifications.
- Documentation of adequate staffing of program results in timeline requirements being met according to APR Indicators 1, 7, and 8.

#### Monitoring Plan

The contract monitor will:

- Review Charts -Personnel files
- Review EIDS reports
- Review Staff Training Records
- Review documentation of Verification of Background Checks

**Deliverable 7: Ensure that all licensing and training requirements are met according to the *Case Management Services Provider Manual*, reissued 7/01/2002.**

The contractor will arrange and/or provide case management training and EarlySteps training as specified below:

**Deliverable 7.1:** Contract will ensure that each Intake Service Coordinator and Intake Service Coordinator/Early Intervention Consultant-Supervisor complete required licensing and EarlySteps training as specified below and participate in any required meetings. In addition, the intake service coordinators must adhere to the requirements of the EarlySteps Practice Manual.

EarlySteps Training Requirements shall include the following:

- Module 1: Orientation—EarlySteps: A New Look
- Module 2: Evaluation and Assessment—Making Informed Decisions on-line module and with a face-to-face component (when available) through EarlySteps
- Module 3: Spectrum of Child Development
- Module 4: Family-Centered Practices
- Module 5: Introduction to Teaming Practices
- Module 6: Introduction to the Individualized Family Services Plan on-line and Individualized Family Service Plan Process-a face-to-face component, when available.
- Module 7: Concerns, Priorities and Resource Process, a face-to-face training activity, when available
- Module 8: Talking to Families about their Rights, an online module
- Face-to-Face Orientation to EarlySteps by Regional Coordinator
- Technical Assistance provided at a minimum of 1 hour per month with the Regional Coordinator in region served; meetings may increase based on the SPOE needs. All SPOE staff will be required to attend scheduled meetings.
- SPOE software training
- Additional training as required by DHH/OCDD

**Additional Case Management Licensing Training Requirements:**

Orientation- at least sixteen (16) hours must be provided to all staff, volunteers, and students within five (5) working days of employment. A minimum of eight (8) hours of the orientation training must cover orientation to early intervention including, but not limited to, specific service needs and resources. This orientation must include, at a minimum:

- Case Management Provider policies and procedures.
- Medicaid and other applicable DHH policies and procedures.
- Confidentiality.
- Documentation in case records.
- Parents' Rights under IDEA Part C.
- Recipient rights protection and reporting of violations.
- Recipient abuse and neglect reporting policies and procedures.
- Recognizing and defining abuse and neglect.
- Emergency and safety procedures.

## ATTACHMENT II

### Statement of Work

- Data management and record keeping.
- Infection control and universal precautions.
- Working with the early intervention population.
- Professional ethics.
- Outcome measures.

Deliverable 7.2: Contractor will ensure that in addition to the required sixteen (16) hours of orientation, all new employees without documented training must receive an additional minimum sixteen (16) hours of training during the first ninety (90) calendar days of employment. This training must be related to the population of infants and toddlers with disabilities to be served, must include specific knowledge, skills, and techniques, and must include the training modules listed above.

Deliverable 7.3: Contractor will ensure that an individual with demonstrated knowledge of both the training topics and the target population provide this training. This training must include the following at a minimum:

- Assessment techniques.
- Support and service planning.
- Support and service planning for children with complex medical needs
- Resource identification.
- Interviewing and interpersonal skills.
- Data management and record keeping.
- Communication skills
- Cultural awareness.
- Personal outcome measures.

Deliverable 7.4: Contract will ensure that new employees do not assume service coordinator responsibility until the orientation is satisfactorily completed. This additional training may be counted as part of the required 40 annual hours. The following is a list of suggested additional topics for training:

- Nature of illness or disability, including symptoms and behavior.
- Pharmacology.
- Potential array of services for the population.
- Building natural support system.
- Family dynamics.
- Developmental life stages.
- First aid/CPR.
- Signs and symptoms of mental illness, alcohol, and drug addiction, mental retardation/developmental disabilities and head injuries.
- Monitoring techniques.
- Advocacy.
- Behavior management techniques.
- Values clarification/goals and objectives.
- Available community resources.
- Cultural diversity.
- Health management.
- Team building/interagency collaboration.
- Transition/closure.
- Facilitating team meetings.
- Stress and time management.
- Legal issues.
- Outcome measures.

Deliverable 7.5: Contractor will ensure that individuals who supervise Intake Service Coordinators complete a minimum of 40 hours of training a year. Suggested topics for supervisory training include:

- Professional ethics
- Process for interviewing, screening, and hiring staff
- Orientation/in service training of staff
- Evaluating staff
  - Approaches to supervision
  - Managing caseload size
  - Conflict resolution
  - Documentation
  - Time management

## ATTACHMENT II

### Statement of Work

The contractor shall print EarlySteps Practice Manual and any updates and shall make them available to all of the contractor's staff. Verification of training on the program practice manual shall be documented by the contractor. The manual is available on the website at <http://www.earlysteps.dhh.louisiana.gov/>.

#### Performance Measures

Contractor shall provide or maintain:

- Documentation of personnel records that include - Time, date, trainer, trainer's qualifications and agenda signed by supervisor, documentation of training provided by outside entities or organizations to include certificate of attendance signed by trainer or training organizations.

#### Monitoring Plan

The contract monitor will:

- Review Personnel File
- Review attendance records
- Review Training and Supervision Logs

#### Deliverable 8: Ensure quality of data reporting and quality assurance

The contractor will develop and implement quality management strategies which assure quality of contractor and EarlySteps system implementation and accuracy of data entry and reporting as follows:

Deliverable 8.1: Contractor will develop written procedures for performance of the services, as required herein, within 90 calendar days of the initiation of the contract which reflect provisions of the EarlySteps system in a prompt, professional, family-centered, equitable, consistent, and culturally competent manner that ensures:

- Each referred child shall be guaranteed equal and timely access to the services available through the EarlySteps system or referred to other appropriate services, regardless of the nature of the child's disability or the degree of disability, family educational/socioeconomic status, primary language or geographic location.
- Families shall receive accurate and timely information, knowledge of choices or options available, and shall be given an explanation of their rights, opportunities and responsibilities under both Part C federal law and state law.
- Collaborative relationships with referring agencies, providers and other community agencies are developed which support the EarlySteps team-based service delivery model.
- Access for children and their families to systems and services that will assist in meeting their needs including those related to the child's developmental concerns as well as enhancing the family's capacity in meeting the needs of their child.
- Confidentiality of data, including medical records, payment information, child and family information, and early intervention service records shall be maintained
- Data shall be entered accurately and in a timely manner
- A written plan for conducting a self-evaluation and report findings to OCDD shall be developed and implemented by the Contractor throughout the Contractor's organization.
- A written approved Quality Enhancement Plan that engages in learning or collecting performance information to determine how well they are meeting the Contractor's goals; responding or acting in ways to improve performance, implementing or activating a plan that has well defined goals and objectives, and evaluating and monitoring the implementation of the quality project

Deliverable 8.2: Contractor will ensure that data management results in accurate data reporting which meets state and federal requirements such that:

- Procedures which ensure confidentiality of all contents including medical records, payment information, child and family information, and early intervention service records shall be implemented.
- Reporting requirement established by OCDD including monthly reports, corrective action plans, self-assessments and Individual Family Service Plans (IFSPs) shall be met.
- Procedures shall ensure timely, accurate input of data into EIDS.

#### Performance Measures

Contractor shall provide or maintain:

Documentation of policy manual development within 90 days of contract initiation which shall include, but shall not be limited to, the following:

- Anti-discrimination
- Evaluations
- Promotion



## ATTACHMENT II

### Statement of Work

- Disciplinary actions
- Termination
- Employee grievances
- Continuous quality management
- Training requirements

A written Quality Enhancement Plan must be developed within 90 days of contract initiation and approved by OCDD which shall include:

- Contractor's vision and mission
- Establishing a Quality Council
- Establishing an Organizational Infrastructure to Support Quality QM Policy and procedures
- Evaluating Fidelity of Implementation of the Contractor's plan and updates
- Quality management committee which includes stakeholders
- Data collection and analysis
- Procedures for conducting self-evaluation and other quality enhancements and procedures to report findings to OCDD according to established guidelines
- Training
- Procedures for determination of consumer satisfaction and means to address concerns identified

#### **Monitoring Plan**

The contract monitor will:

- Review policy manuals and quality assurance guidelines
- Review data reporting to ensure it meets schedules and results within expected parameters

DHH Contract Budget Detail

Attachment 111

FY 14/15

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	31.89	115	3,667	100	0	3,667
Intake Coordinator Sup/Data Manger	26.49	346	9,166	100	0	9,166
Intake Coordinator	18.31	346	6,335	100	0	6,335
Intake Coordinator	17.58	346	6,083	100	0	6,083
Intake Coordinator	17.58	346	6,083	100	0	6,083
Intake Coordinator	17.58	346	6,083	100	0	6,083
Intake Coordinator	17.58	346	6,083	100	0	6,083
Intake Coordinator	17.58	346	6,083	100	0	6,083
Admin. Clerk	12.04	346	4,166	100	0	4,166
Total			53,749	100	0	53,749

Justification

Personnel Cost for Region 9. Program Director is approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA/Med	4,110	100	0	4,110
Health Insurance	8,467	100	0	8,467
Dental Insurance	652	100	0	652
Life Insurance	720	100	0	720
Mutual of America (retirement)	3,762	100	0	3,762
			0	0
			0	0
			0	0
Total	17,711		0	17,711

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 32.951% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Intake Coordinator Supervisor/Data Manager	448	100	0	448
EI Consultant	448	100	0	448
Intake Coordinator	448	100	0	448
Intake Coordinator	448	100	0	448
Intake Coordinator	448	100	0	448
Intake Coordinator	448	100	0	448
Intake Coordinator	448	100	0	448
Intake Coordinator	448	100	0	448
Total	3,584		0	3,584

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore eight staff will travel to 5 parishes in Region 9.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$1400 x 2)	2,800	100	0	2,800
Utilities (\$208.33 x 2)	417	100	0	417
Telephone/Cell phone (\$1100 x 2)	2,200	100	0	2,200
Maintenance of Equipment (\$700 x 2)	1,400	100	0	1,400
IT/IT Audit (\$600 x 2)	1,200	100	0	1,200
Liability Insurance (\$225 x 2)	450	100	0	450
Workers Compensation (\$116.66 x 2)	233	100	0	233
Unemployment Insurance (\$85 x 2)	170	100	0	170
			0	0
<b>Total</b>	<b>8,870</b>		<b>0</b>	<b>8,870</b>

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Office-paper,pens,file folders, etc (\$2100 x 2)	4,200	100	0	4,200
			0	0
			0	0
			0	0
<b>Total</b>	<b>4,200</b>		<b>0</b>	<b>4,200</b>

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
EI Consultant (\$1666.67 x 2)	3,333	100	0	3,333
		0	0	0
		0	0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>3,333</b>		<b>0</b>	<b>3,333</b>

Justification

Audit services yearly. EI consultant is contracted to meet contract requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		100	0	0
			0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. Cost	8,687	100	0	8,687
			0	0
			0	0
			0	0
Total	8,687		0	8,687

Justification

9.875% indirect and admin. cost.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification



DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Southeastern Louisiana AHEC - Region 9 FROM: 5/01/2015 TO: 6/30/2015

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	53,749	0	53,749
RELATED BENEFITS	(41)	17,711	0	17,711
TRAVEL	(12)	3,584	0	3,584
OPERATING SERVICES	(13)	8,870	0	8,870
SUPPLIES	(14)	4,200	0	4,200
PROFESSIONAL SVCS	(15)	3,333	0	3,333
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	8,687	0	8,687
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		100,134	0	100,134

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					



DHH Contract Budget Detail

Attachment III

FY 15/16

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	31.74	693	21,996	100	0	21,996
Intake Coordinator Sup/Data Manger	26.44	2,080	54,995	100	0	54,995
Intake Coordinator	18.27	2,080	38,002	100	0	38,002
Intake Coordinator	17.54	2,080	36,483	100	0	36,483
Intake Coordinator	17.54	2,080	36,483	100	0	36,483
Intake Coordinator	17.54	2,080	36,483	100	0	36,483
Intake Coordinator	17.54	2,080	36,483	100	0	36,483
Intake Coordinator	17.54	2,080	36,483	100	0	36,483
Admin. Clerk	12.02	2,080	25,002	100	0	25,002
Total			322,410	100	0	322,410

Justification

Personnel Cost for Region 9. Program Director is approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA/Med	24,671	100	0	24,671
Health Insurance	50,800	100	0	50,800
Dental Insurance	3,913	100	0	3,913
Life Insurance	4,320	100	0	4,320
Mutual of America (retirement)	22,575	100	0	22,575
			0	0
			0	0
			0	0
			0	0
Total	106,279		0	106,279

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 32.964% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Intake Coordinator Supervisor/Data Manager	2,687	100	0	2,687
EI Consultant	2,687	100	0	2,687
Intake Coordinator	2,687	100	0	2,687
Intake Coordinator	2,687	100	0	2,687
Intake Coordinator	2,688	100	0	2,688
Intake Coordinator	2,688	100	0	2,688
Intake Coordinator	2,688	100	0	2,688
Intake Coordinator	2,688	100	0	2,688
			0	0
Total	21,500		0	21,500

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore eight staff will travel to 5 parishes in Region 9.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$1400 x 12)	16,800	100	0	16,800
Utilities (\$208.33 x 12)	2,500	100	0	2,500
Telephone/Cell phone (\$1100 x 12)	13,200	100	0	13,200
Maintenance of Equipment (\$700 x 12)	8,400	100	0	8,400
IT/IT Audit (\$600 x 12)	7,200	100	0	7,200
Liability Insurance (\$225 x 12)	2,700	100	0	2,700
Workers Compensation (\$116.66 x 12)	1,400	100	0	1,400
Unemployment Insurance (\$85 x 12)	1,020	100	0	1,020
			0	0
<b>Total</b>	<b>53,220</b>		<b>0</b>	<b>53,220</b>

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Office-paper,pens,file folders, etc (\$2100 x 12)	25,200	100	0	25,200
			0	0
			0	0
			0	0
<b>Total</b>	<b>25,200</b>		<b>0</b>	<b>25,200</b>

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
EI Consultant (\$1666.67 x 12)	20,000	100	0	20,000
Audit (\$200 x 12)	2,400	100	0	2,400
		100	0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>22,400</b>		<b>0</b>	<b>22,400</b>

Justification

Audit services yearly. EI consultant is contracted to meet contract requirements.





DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Southeastern Louisiana AHEC - Region 9 FROM: 7/01/2015 TO: 6/30/2016

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	322,410	0	322,410
RELATED BENEFITS	(41)	106,279	0	106,279
TRAVEL	(12)	21,500	0	21,500
OPERATING SERVICES	(13)	53,220	0	53,220
SUPPLIES	(14)	25,200	0	25,200
PROFESSIONAL SVCS	(15)	22,400	0	22,400
CAPITAL ASSETS	(16)	2,000	0	2,000
ADMINISTRATIVE	(17)	52,536	0	52,536
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		605,545	0	605,545

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

FY 16/17

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	31.74	693	21,996	100	0	21,996
Intake Coordinator Sup/Data Manger	26.44	2,080	54,995	100	0	54,995
Intake Coordinator	18.27	2,080	38,002	100	0	38,002
Intake Coordinator	17.54	2,080	36,483	100	0	36,483
Intake Coordinator	17.54	2,080	36,483	100	0	36,483
Intake Coordinator	17.54	2,080	36,483	100	0	36,483
Intake Coordinator	17.54	2,080	36,483	100	0	36,483
Intake Coordinator	17.54	2,080	36,483	100	0	36,483
Admin. Clerk	12.02	2,080	25,002	100	0	25,002
Total			322,410	100	0	322,410

Justification

Personnel Cost for Region 9. Program Director is approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA/Med	24,671	100	0	24,671
Health Insurance	55,880	100	0	55,880
Dental Insurance	4,304	100	0	4,304
Life Insurance	4,320	100	0	4,320
Mutual of America (retirement)	22,575	100	0	22,575
			0	0
			0	0
			0	0
			0	0
Total	111,750		0	111,750

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 34.6607% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Intake Coordinator Supervisor/Data Manager	2,687	100	0	2,687
EI Consultant	2,687	100	0	2,687
Intake Coordinator	2,687	100	0	2,687
Intake Coordinator	2,687	100	0	2,687
Intake Coordinator	2,688	100	0	2,688
Intake Coordinator	2,688	100	0	2,688
Intake Coordinator	2,688	100	0	2,688
Intake Coordinator	2,688	100	0	2,688
Total	21,500		0	21,500

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore eight staff will travel to 5 parishes in Region 9.



<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$1400 x 12)	16,800	100	0	16,800
Utilities (\$208.33 x 12)	2,500	100	0	2,500
Telephone/Cell phone (\$1100 x 12)	13,200	100	0	13,200
Maintenance of Equipment (\$700 x 12)	8,400	100	0	8,400
IT/IT Audit (\$600 x 12)	7,200	100	0	7,200
Liability Insurance (\$225 x 12)	2,700	100	0	2,700
Workers Compensation (\$116.66 x 12)	1,400	100	0	1,400
Unemployment Insurance (\$85 x 12)	1,020	100	0	1,020
			0	0
<b>Total</b>	<b>53,220</b>		<b>0</b>	<b>53,220</b>

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Office-paper,pens,file folders, etc (\$2100 x 12)	25,200	100	0	25,200
			0	0
			0	0
			0	0
<b>Total</b>	<b>25,200</b>		<b>0</b>	<b>25,200</b>

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
EI Consultant (\$1666.67 x 12)	20,000	100	0	20,000
Audit (\$200 x 12)	2,400	100	0	2,400
		100	0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>22,400</b>		<b>0</b>	<b>22,400</b>

Justification

Audit services yearly. EI consultant is contracted for approximately  hours for twelve months to meet contract requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Laptops (\$1000 x 1)	1,000	100	0	1,000
			0	0
			0	0
Total	1,000		0	1,000

Justification

Replacement of computers on rotating basis. Computer life 3 to 4 years.

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. Cost	52,961	100	0	52,961
			0	0
			0	0
			0	0
Total	52,961		0	52,961

Justification

9.5% indirect and admin. cost.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification



CONTRACTOR: Southeastern Louisiana AHEC - Region 9

FROM: 7/01/2016

TO: 6/30/2017

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	322,410	0	322,410
RELATED BENEFITS	(41)	111,750	0	111,750
TRAVEL	(12)	21,500	0	21,500
OPERATING SERVICES	(13)	53,220	0	53,220
SUPPLIES	(14)	25,200	0	25,200
PROFESSIONAL SVCS	(15)	22,400	0	22,400
CAPITAL ASSETS	(16)	1,000	0	1,000
ADMINISTRATIVE	(17)	52,961	0	52,961
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		610,441	0	610,441

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment III

FY 17/18

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	31.72	578	18,334	100	0	18,334
Intake Coordinator Sup/Data Manger	26.43	1,734	45,830	100	0	45,830
Intake Coordinator	18.26	1,734	31,663	100	0	31,663
Intake Coordinator	17.54	1,734	30,414	100	0	30,414
Intake Coordinator	17.54	1,734	30,414	100	0	30,414
Intake Coordinator	17.54	1,734	30,414	100	0	30,414
Intake Coordinator	17.54	1,734	30,414	100	0	30,414
Intake Coordinator	17.54	1,734	30,414	100	0	30,414
Admin. Clerk	12.01	1,734	20,825	100	0	20,825
Total			268,722	100	0	268,722

Justification

Personnel Cost for Region 9. Program Director is approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA/Med	20,560	100	0	20,560
Health Insurance	46,570	100	0	46,570
Dental Insurance	3,590	100	0	3,590
Life Insurance	3,600	100	0	3,600
Mutual of America (retirement)	18,810	100	0	18,810
			0	0
			0	0
			0	0
			0	0
Total	93,130		0	93,130

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 34.6568% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Intake Coordinator Supervisor/Data Manager	2,240	100	0	2,240
EI Consultant	2,240	100	0	2,240
Intake Coordinator	2,240	100	0	2,240
Intake Coordinator	2,240	100	0	2,240
Intake Coordinator	2,240	100	0	2,240
Intake Coordinator	2,240	100	0	2,240
Intake Coordinator	2,240	100	0	2,240
Intake Coordinator	2,240	100	0	2,240
Total	17,920		0	17,920

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore eight staff will travel to 5 parishes in Region 9.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$1500 x 10)	15,000	100	0	15,000
Utilities (\$208.33 x 10)	2,083	100	0	2,083
Telephone/Cell phone (\$1100 x 10)	11,000	100	0	11,000
Maintenance of Equipment (\$700 x 10)	7,000	100	0	7,000
IT/IT Audit (\$600 x 10)	6,000	100	0	6,000
Liability Insurance (\$225 x 10)	2,250	100	0	2,250
Workers Compensation (\$116.66 x 10)	1,167	100	0	1,167
Unemployment Insurance (\$85 x 10)	850	100	0	850
			0	0
<b>Total</b>	<b>45,350</b>		<b>0</b>	<b>45,350</b>

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Office-paper,pens,file folders, etc (\$2100 x 10)	21,000	100	0	21,000
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>21,000</b>		<b>0</b>	<b>21,000</b>

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
EI Consultant (\$1666.67 x 10)	16,667	100	0	16,667
Audit (\$240 x 10)	2,400	100	0	2,400
		0	0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>19,067</b>		<b>0</b>	<b>19,067</b>

Justification

Audit services yearly. EI consultant is contracted to meet contract requirements.



(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Laptops (\$1000 x 1)	1,000	100	0	1,000
			0	0
			0	0
Total	1,000		0	1,000

Justification

Replacement of computers on rotating basis. Computer life 3 to 4 years.

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. Cost	44,288	100	0	44,288
			0	0
			0	0
			0	0
			0	0
Total	44,288		0	44,288

Justification

9.5% indirect and admin. cost.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification



**DHH CONTRACT BUDGET**  
**SUMMARY BUDGET FOR THIS PERIOD**

**Attachment**

CONTRACTOR: Southeastern Louisiana AHEC - Region 9

FROM: 7/01/2017

TO: 4/30/2018

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	268,722	0	268,722
RELATED BENEFITS	(41)	93,130	0	93,130
TRAVEL	(12)	17,920	0	17,920
OPERATING SERVICES	(13)	45,350	0	45,350
SUPPLIES	(14)	21,000	0	21,000
PROFESSIONAL SVCS	(15)	19,067	0	19,067
CAPITAL ASSETS	(16)	1,000	0	1,000
ADMINISTRATIVE	(17)	44,288	0	44,288
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		510,477	0	510,477

Note: No data entry allowed in this item

**X**☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

**Fund Distribution Section**

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

Part C - System Point of Entry  
Sample Monthly Invoice

Agency Name:  
CFMS #:  
Contact Person:  
Address:  
  
Phone:  
Email:

Month: \_\_\_\_\_

Vendor#: \_\_\_\_\_

Invoice #: \_\_\_\_\_

SPOE Region: \_\_\_\_\_ PROGRAM: EARLYSTEPS

Date: \_\_\_\_\_

Categories		Approved Amount	Previously Billed	Current Expenses	Balance Remaining
Personnel			\$ -	\$ -	\$
Related Benefits			-	-	
Travel			-	-	
Operating Supplies			-	-	
Supplies			-	-	
Professional Services					
Capital Assets			-	-	
Administrative			-	-	
Total			\$ -	\$ -	\$

CONTRACTOR'S CERTIFICATE

"This is to certify that the information contained on this form is true, accurate and complete and that expenditures shown above were made for the furtherance of and in conformity with the contractual agreement with DHH/OCDD."

\_\_\_\_\_  
Signature of Contractor

\_\_\_\_\_  
Date

\_\_\_\_\_  
OCDD Approval Signature

\_\_\_\_\_  
Date

225-342-0095  
Contact Phone #

						15. # of Referrals to EPSDT
						16. # of Referrals to OCDD
						17. # of Referrals to LEA
						18. # of Transition Meetings
						19. # of Referrals to Other Agencies
						20. # of New Referrals from Current Month
						21. Referrals closed-parent declined
						22. Referrals Closed -could not contact
						23. Total Number of New Referrals
						24. # of NEW Referrals Not eligible based on ASQ
						25. # of NEW Referrals Not eligible based on BDI
						26. Total Number of Eligible Children from New Referrals as of last day of current month
						27. # of New Referrals contacted within 4 calendar days
#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	28. % of Families contacted within 4 calendar days

						1. # of Carryover Referrals from Prior Month
						2. # of Carryover Referrals closed -parent declined
						3. # of Carryover Referrals closed-could not contact
						4. Total # of Carryovers
						5. # of Carryover Referrals Not Eligible by ASQ
						6. # of Carryover Referrals Not Eligible based on BDI
						7. Total # of Eligible Children from Carryover Referrals
						8. # of Carryover Referrals contacted within 4 calendar days
#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	9. % of Families contacted within 4 calendar days
						10. Face to Face Contact within 10 Calendar Days of Referral
#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	11. % of Face to Face Contact completed within 10 Calendar Days
						12. Total Number of IFSPs written from Carryovers Referrals
						13. # of IFSPs written within 45 days from Carryovers Referrals
#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	14. % of IFSPs completed within 45 days

Sample SPOE Monthly Report

## **Attachment VI**

1. **Order of Precedence:** The contract shall, to the extent possible, be construed to give effect to all provision contained therein, however, where provisions conflict, the intent of the parties shall be determined by giving a first priority to provisions of the contract excluding the RFP and the proposal; second priority to the provision of the RFP; and third priority to the provisions of the proposal.
2. **Entire Agreement:** This contract, together with the RFP and addenda issued thereto by the Department, the proposal submitted by the contractor in response to the Department's RFP, and any exhibits specifically incorporated herein reference constitute the entire agreement between the parties with respect to the subject matter.



## BOARD RESOLUTION

STATE OF LOUISIANA  
PARISH OF TANGIPAHOA

On the 18th day of June, 2014, at a meeting of the Board of Directors of Southeastern Louisiana Area Health Education Center a corporation, held in the city of Hammond, Tangipahoa Parish, Louisiana with a quorum of the directors present, the following business was conducted:

It was duly moved and seconded that the above corporation do hereby authorize Virginia Pelegrin, President or Brian P. Jakes, Sr., Chief Executive Officer to negotiate at any time within 36 months from this date and on terms and conditions that she/he may deem advisable, a contract or contracts with the Louisiana Department of Health and Hospitals, to execute said documents on behalf of the corporation and further we do hereby give her/him the power and authority to do all things necessary to implement, maintain, amend or renew said documents.

The above resolution was passed by a majority of those present and voting in accordance with the bylaws and articles of incorporation.

I certify that the above and foregoing constitutes a true and correct copy of a part of the minutes of a meeting of the Board of Directors of Southeastern Louisiana Area Health Education Center.

Held on the 16th day of June, 2014.

Subscribed and sworn before me, a Notary Public

For the Parish of St. Tammany State of Louisiana

On the 21<sup>st</sup> day of January, 2015.

Brian P. Jakes  
Notary Public #136012

[Signature]  
Secretary



# State of Louisiana

## DEPARTMENT OF HEALTH AND HOSPITALS Office for Citizens with Developmental Disabilities

March 25, 2015

Ms. Pamela Bartfay-Rice, Esq.  
Director  
Divisions of Administration  
Office of Contractual Review  
P.O. Box 94095  
Baton Rouge, LA 70804-9095

Dear Ms. Rice:

Please consider this justification for the Department of Health and Hospitals, Office for Citizens with Developmental Disabilities to enter in to a multi-year contract with the ten System Point of Entry Contractors selected through the RFP process:

Region 1 – Easter Seals Louisiana (CFMS – 735114)  
Region 2 – Southeast Area Health Education Center (CFMS – 735115)  
Region 3 – Southeast Area Health Education Center (CFMS – 735268)  
Region 4 – First Steps Referral and Consulting, LLC (CFMS – 735229)  
Region 5 – First Steps Referral and Consulting, LLC (CFMS – 735210)  
Region 6 – Easter Seals Louisiana (CFMS – 735219)  
Region 7 – Families Helping Families at the Crossroads (CFMS – 735293)  
Region 8 – Easter Seals Louisiana (CFMS – 735294)  
Region 9 – Southeast Area Health Education Center (CFMS – 735292)  
Region 10 – Southeast Area Health Education Center (CFMS – 735213)

These contractors provide services for the EarlySteps system which are required by the Federal IDEA, Part C program with the US Department of Education. A multi-year contract supports the continuity of the required services: intake, initial eligibility determination, intake service coordination, as well as hosting the regional data systems for the State system for 10,000 annual referrals, and service authorizations for approximately 9300 children each year.

Funds for the first fiscal year of the contract are available and payment and performance for subsequent fiscal years shall be subject to the availability of funds.

The estimated requirements covering the period of the contract are reasonably firm and continuing and such a contract will serve the best interests of the State by encouraging effective competition or otherwise promoting economies in state procurement through the continuity of services provided over multiple years.

If further information is needed, please call (342-0095).

Sincerely,

  
Brenda Sharp,  
Program Manager

SUMMARY OF INFORMATION

<b>CONTRACTOR NAME</b> Southeastern Louisiana Area Health Education Center		<b>Amount</b> <b>\$ 1,826,597.00</b>
<b>CONTRACT DATES</b> <b>Effective Date</b> 05-01-2015 <b>Termination Date</b> 04-30-2018		<b>BA-22 ATTACHED</b> <input checked="" type="checkbox"/>

Certification Requirements: (Check Applicable Items)

- ☒ 1.
- Either no employee of this agency is both competent and available to perform the services called for by the proposed contract and/or the services called for are not the type readily susceptible of being performed by persons who are employed by the State on a continuing basis.
- ☒ 2.
- The services are not available as a product of a prior or existing professional, personal contract.
- ☒ 3.
- When applicable, the requirements for consultant contracts, as provided for under R.S. 39:1503-1507, have been complied with (proper documentation should be provided).
- ☒ 4.
- The using agency has developed and fully intends to implement a written plan providing for the assignment of specific using personnel to a monitoring and liaison function. Identify name of individual of staff unit responsible for monitoring this contract:

<b>Name</b> Brenda Sharp, Program Manager	<b>Phone No.</b> (225)342-0095
<b>Location</b> 628 N. 4th Street P.O. Box 3117 Bin 21 Baton Rouge, LA 70821-3117	

**Summary of Monitoring Plan:** (This must include periodic review of specified reports, documents, exception reporting, or other indicia or performance, etc.). Additional pages may be attached if necessary.

Monitoring will be achieved by receipt of all deliverables as listed on Attachment II including the review of monthly reports submitted and reports obtained through the central data system which will be monitored by the EarlySteps Program Manager.

The ultimate use of the final product of the services: (Specify)

Identify EarlySteps eligible infants and toddlers served under the Part C system thus meeting the federal benchmark of a least 2% served statewide.

- ☒ 5.
- Respond to questions A or B on all contracts except those funded by "Other Charges" (3600 series) of Budget:  
A. What critical services will go unprovided and to whom?  
Early intervention services would not be available to children in need.  
  
B. How many hours will the contractor have to work? N/A
- ☒ 6.
- Completed monitoring report will be submitted to the Office of Contractual Review within 60 days after termination of contract. (For Personal, Professional, Consulting contracts exceeding \$20,000)
- ☒ 7.
- The services have not been artificially divided to as to constitute a small purchase (not exceeding \$20,000).
- ☒ 8.
- A cost-benefit analysis has been conducted which indicates that obtaining such services from the private sector is more cost-effective than providing such services the agency itself or by any agreement with another state agency and includes both a short-term and long-term analysis and is available for review.
- ☒ 9.
- The cost basis for the proposed contract is justified and reasonable.
- ☒ 10.
- A description of the specific goals and objectives, deliverables, performance measures and a plan for monitoring the services to be provided are contained in the proposed contract.

PRIOR CONTRACT INFORMATION MUST BE FILLED OUT (IF NO PRIOR CONTRACT PUT N/A)

<b>PRIOR YEAR SERVICES PROVIDED BY (Contractor Name):</b> Southeastern Louisiana Area Health Education Center			
<b>CFMS#:</b> 730564	<b>DHH#:</b> 060295	<b>EFF:</b> 07-01-2014	<b>TERM:</b> 04-30-2014
<b>AMOUNT:</b> \$ 449,595.00	<b>PREVIOUSLY ISSUED UNDER RFP?</b> IF YES, DATE: <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO      DATE: 06-02-2011		

## DETERMINATION OF RESPONSIBILITY

**R.F.P. CONSULTING CONTRACTS FOR \$50,000 OR MORE; UNLESS DETERMINED EXEMPT AS PER ACT 673 of 1985, R.S. 39:1494.1 (A).**

☐ Criteria for selection    ☐ Proposals    ☐ Pertinent Documents    ☐ Selection Memorandum

ASSISTANT SECRETARY OR DESIGNEE SIGNATURE

OFFICE  
Office for Citizens with Developmental Disabilities

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION  
BA-22 (REV. 09/2005)

Date: 4/2/2015 Dept/Budget Unit: 09/340/2000  
Agency Name: Office for Citizens with Developmental Disabi OCR/CFMS Contract #: 735292  
Agency BA-22 #: 36 Agency Contract #: 060722

Fiscal Year for this BA-22: 2014-2015 BA-22 Start/End Dates: 05/01/15 06/30/15  
(yyyy-yy) (Start Date) (End Date)

Multi-year Contract (Yes/No): Yes If "Yes", provide contract dates:  
05/01/15 04/30/18  
(Start Date) (End Date)

Southeastern Louisiana Area Health Education Center 72115501400  
(Contractor/Vendor Name) (Contractor/Vendor No.)

Contractor will provide System Point of Entry services with the Region 9 Parishes for Early Steps.  
(Provide a statement of "Services Provided")

Contract Amendment (Yes/No): NO Amendment Start/End Dates: \_\_\_\_\_  
(Start Date) (End Date)

Contract Cancellation (Yes/No): NO Date of Cancellation: \_\_\_\_\_

(Provide rationale for amendment or cancellation)

This information is to be provided at the Agency Level				
MEANS OF FINANCING	AMOUNT			
	Current Year	%	Total Contract	%
State General Fund	\$0	0%	\$0	0.0%
Interagency Transfers	\$0	0%	\$0	0.0%
Fees and Self Gen.	\$0	0.0%	\$0	0.0%
Statutory Dedication	\$0	0.0%	\$0	0.0%
Federal	\$100,134	100%	\$1,826,597	100.0%
TOTALS	\$100,134	100%	\$1,826,597	100.0%

\*Specify Source (i.e., grant name, fund name, IAT sending agency and revenue source, fee type and source, etc.)  
Are revenue collections for funds utilized above in line with budgeted amounts? (Yes/No) \_\_\_\_\_  
If not, explain.

This information is to be provided at the Agency Level	
Name of Object Code/Category:	Miscellaneous Charges
Object Code/Category Number:	3655
Amount Budgeted:	\$15,496,069
Amount Previously Obligated:	\$6,694,415
Amount this BA-22:	\$100,134
Balance:	\$8,701,520

The approval of the aforementioned contract will not cause this agency to be placed in an Object Category deficit.

Agency Contact: Clent Goff Reviewed/Approved By: Geetha Kumar  
Name: Clent Goff Name: Geetha Kumar  
Title: Program Manager 1 Title: Program Manager  
Phone: (225) 342-0943 Phone: (225) 342-8725

FOR AGENCY USE ONLY						
AGENCY	PROGRAM	ACTIVITY	ORGANIZ.	OBJECT	REPT CAT	AMOUNT
340	2000		8912	3655	8107	\$100,134.00

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION  
BA-22 (REV. 09/2005)

Date: 9/9/2015  
Agency Name: Office for Citizens with Developmental Disabi  
Agency BA-22 #: 19  
Dept/Budget Unit: 09/340/2000  
OCR/CFMS Contract #: 735292  
Agency Contract #: 060722

Fiscal Year for this BA-22: 2014-2015  
BA-22 Start/End Dates: 07/01/14 04/30/15  
(Start Date) (End Date)

Multi-year Contract (Yes/No): Y If "Yes", provide contract dates:  
05/01/15 04/30/18  
(Start Date) (End Date)

Southeast Louisianan Area Health Education Center  
(Contractor/Vendor Name) 72115501400  
(Contractor/Vendor No.)

Contractor will provide System Point of Entry Services with the Region 9 Parishes for Early Steps.  
(Provide a statement of "Services Provided")

Contract Amendment (Yes/No): NO Amendment Start/End Dates:  
(Start Date) (End Date)

Contract Cancellation (Yes/No): NO Date of Cancellation:

(Provide rationale for amendment or cancellation)

This information is to be provided at the Agency Level				
MEANS OF FINANCING	AMOUNT			
	Current Year	%	Total Contract	%
State General Fund	\$0	0%	\$0	0.0%
Interagency Transfers	\$0	0%	\$0	0.0%
Fees and Self Gen.	\$0	0.0%	\$0	0.0%
Statutory Dedication	\$0	0.0%	\$0	0.0%
Federal	\$605,545	100%	\$1,826,597	100.0%
TOTALS	\$605,545	100%	\$1,826,597	100.0%

\*Specify Source (i.e., grant name, fund name, IAT sending agency and revenue source, fee type and source, etc.)  
Are revenue collections for funds utilized above in line with budgeted amounts? (Yes/No)  
If not, explain.

This information is to be provided at the Agency Level	
Name of Object Code/Category:	Miscellaneous Charges
Object Code/Category Number:	3655
Amount Budgeted:	\$12,261,269
Amount Previously Obligated:	\$4,879,686
Amount this BA-22:	\$605,545
Balance:	\$6,776,038

The approval of the aforementioned contract will not cause this agency to be placed in an Object Category deficit.

Agency Contact: Name: Clent Goff Title: Program Manager 1 Phone: (225) 342-0943  
Reviewed/Approved By: Geetha Kumar Name: Geetha Kumar Title: Accountant Manager 2 Phone: (225) 342-8725

FOR AGENCY USE ONLY						
AGENCY	PROGRAM	ACTIVITY	ORGANIZ.	OBJECT	REPT CAT	AMOUNT
340	2000		8912	3655	8107	\$605,545.00



AMENDMENT TO  
AGREEMENT BETWEEN STATE OF LOUISIANA  
LOUISIANA DEPARTMENT OF HEALTH

Amendment #: 1  
LAGOV#: 2000123341  
LDH #: 060723

(Regional/ Program/  
Facility

Office for Citizens with Developmental Disabilities  
EarlySteps, Louisiana's Early Intervention System

AND

Southeastern Louisiana Area Health Education Center

Contractor Name

Original Contract Amt \$ 1,047,837.00

Original Contract Begin Date 05-01-2015

Original Contract End Date 04-30-2018

RFP Number: 305PUR-DHHRFP-SPOE

AMENDMENT PROVISIONS

Change Contract From: From Maximum Amount: \$ 1,047,837.00 Current Contract Term: 05/01/2015 - 04/30/2018

CF-1 Block 13 Maximum Contract Amount \$1,047,837 FY15 \$57,205 FY16 \$346,746, FY17 \$351,608, FY18 \$292,278  
|  
CF-1 Block 14 Terms of Payment: See Attachment III: Budget

Change Contract To: To Maximum Amount: \$ 1,748,784.00 Changed Contract Term: 5/01/2015 - 4/30/2020

CF-1 Block 13 Maximum Contract Amount \$1,748,784; FY15 \$57,205 FY16 \$346,746, FY17 \$351,608, FY18 \$292,278 (10 month),  
FY 18 \$58,181. (2 month), FY19 \$350,488, FY20 \$292,278  
CF-1 Block 14 Terms of Payment: See Attachment III: Budget

Justifications for amendment:

The current contract, which was executed via RFP# 305PUR-DHHRFP-SPOE-2014-OCDD on May 1, 2015, expires on April 30, 2018. The RFP included an option to extend the resulting contract from 3 to 5 years. Since 2008, the RFP has been issued 3 times with no other qualified applicants competing. LDH/OCDD is satisfied with the performance of Southeastern Louisiana Area Health Education Center in meeting all deliverables and would like to exercise the option to extend the contract the allowable 24 months, in the Region 10 parishes for EarlySteps, the Louisiana's Early Intervention program.

This Amendment Becomes Effective: 05-01-2018

This amendment contains or has attached hereto all revised terms and conditions agreed upon by contracting parties.

IN WITNESS THEREOF, this amendment is signed and entered into on the date indicated below.

CONTRACTOR

Southeastern Louisiana Area Health Education Center

CONTRACTOR SIGNATUREDATE

PRINT NAMEBrian P. Jakes, Sr.

CONTRACTOR TITLChief Executive Officer

STATE OF LOUISIANA  
LOUISIANA DEPARTMENT OF HEALTH

Secretary, Louisiana Department of Health or Designee

SIGNATUREDATE

NAMEMark A. Thomas

TITLAssistant Secretary

OFFICEOffice for Citizens with Developmental Disabilities

PROGRAM SIGNATUREDATE

NAME

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	0	0	0	100	0	0
Intake Coordinator Supervisor/EI	19.22	346	6,650	100	0	6,650
Intake Coordinator	18.5	346	6,401	100	0	6,401
Intake Coordinator	18.21	346	6,301	100	0	6,301
Intake Coordinator	17.59	346	6,086	100	0	6,086
Admin. Clerk	16.28	346	5,633	100	0	5,633
			0		0	0
			0		0	0
Total			31,071		0	31,071

Justification

Personnel Cost for Region 10.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA/Med	2,382	100	0	2,382
Health Insurance	5,174	100	0	5,174
Dental Insurance	399	100	0	399
Life Insurance	400	100	0	400
Mutual of America (retirement)	2,161	100	0	2,161
			0	0
			0	0
Total	10,516		0	10,516

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents a 33.8444% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Intake Coordinator Supervisor/EI	500	100	0	500
Intake Coordinator	500	100	0	500
Intake Coordinator	500	100	0	500
Intake Coordinator	500	100	0	500
			0	0
			0	0
Total	2,000		0	2,000

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore four staff will travel to 1 parish in Region 10.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$1400 x 2)	2,800	100	0	2,800
Utilities	0	100	0	0
Telephone/Cell phone (\$850 x 2)	1,700	100	0	1,700
Maintenance of Equipment (\$325 x 2)	650	100	0	650
IT/IT Audit (\$625 x 2)	1,250	100	0	1,250
Liability Insurance (\$200 x 2)	400	100	0	400
Workers Compensation (\$66.66 x 2)	133	100	0	133
Unemployment Insurance (\$66.70 x 2)	133	100	0	133
			0	0
<b>Total</b>	<b>7,066</b>		<b>0</b>	<b>7,066</b>

Justification

Rent, telephone, cell phones, fax, computers ,copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Office-paper, pens, file folders, etc - \$1000 x 2	2,000	100	0	2,000
			0	0
<b>Total</b>	<b>2,000</b>		<b>0</b>	<b>2,000</b>

Justification

Purchase of folders, toners, copy paper, pens, etc. are necessary supplies used in the daily operation.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Audit (\$240 x 2)	480	100	0	480
			0	0
			0	0
<b>Total</b>	<b>480</b>		<b>0</b>	<b>480</b>

Justification

Audit services yearly.





LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Southeastern Louisiana Area Health Educ FROM: 5/1/18 TO: 6/30/18

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	31,071	0	31,071
RELATED BENEFITS	(41)	10,516	0	10,516
TRAVEL	(12)	2,000	0	2,000
OPERATING SERVICES	(13)	7,066	0	7,066
SUPPLIES	(14)	2,000	0	2,000
PROFESSIONAL SVCS	(15)	480	0	480
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	5,048	0	5,048
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		58,181	0	58,181

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					



LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	0	0	0	100	0	0
Intake Coordinator Supervisor/EI	19.22	2,080	39,978	100	0	39,978
Intake Coordinator	18.5	2,080	38,480	100	0	38,480
Intake Coordinator	18.21	2,080	37,877	100	0	37,877
Intake Coordinator	17.59	2,080	36,587	100	0	36,587
Admin. Clerk	16.28	2,080	33,862	100	0	33,862
			0		0	0
			0		0	0
Total			186,784		0	186,784

Justification

Personnel Cost for Region 10.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA/Med	14,292	100	0	14,292
Health Insurance	31,052	100	0	31,052
Dental Insurance	2,392	100	0	2,392
Life Insurance	2,400	100	0	2,400
Mutual of America (retirement)	13,080	100	0	13,080
			0	0
Total	63,216		0	63,216

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents a 33.8444% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Intake Coordinator Supervisor/EI	3,000	100	0	3,000
Intake Coordinator	3,000	100	0	3,000
Intake Coordinator	3,000	100	0	3,000
Intake Coordinator	3,000	100	0	3,000
Total	12,000		0	12,000

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore four staff will travel to 1 parish in Region 10.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$1400 x 12)	16,800	100	0	16,800
Utilities	0	100	0	0
Telephone/Cell phone (\$850 x 12)	10,200	100	0	10,200
Maintenance of Equipment (\$325 x 12)	3,900	100	0	3,900
IT/IT Audit (\$625 x 12)	7,500	100	0	7,500
Liability Insurance (\$200 x 12)	2,400	100	0	2,400
Workers Compensation (\$66.66 x 12)	800	100	0	800
Unemployment Insurance (\$66.70 x 12)	800	100	0	800
			0	0
<b>Total</b>	<b>42,400</b>		<b>0</b>	<b>42,400</b>

Justification

Rent, telephone, cell phones, fax, computers ,copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Office-paper, pens, file folders, etc - \$1000 x 12	12,000	100	0	12,000
<b>Total</b>	<b>12,000</b>		<b>0</b>	<b>12,000</b>

Justification

Purchase of folders, toners, copy paper, pens, etc. are necessary supplies used in the daily operation.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Audit (\$240 x 12)	2,880	100	0	2,880
<b>Total</b>	<b>2,880</b>		<b>0</b>	<b>2,880</b>

Justification

Audit services yearly.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Desktop (\$800 x 1)	800	100	0	800
Total	800		0	800

Justification

Replacement of computers on rotating basis. Computer life 3 to 4 years.

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Admin. cost	30,408	100	0	30,408
Total	30,408		0	30,408

Justification

9.5% indirect and admin. cost rate.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Total					

Justification



LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Southeastern Louisiana Area Health Educ FROM: 7/1/18 TO: 6/30/19

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	186,784	0	186,784
RELATED BENEFITS	(41)	63,216	0	63,216
TRAVEL	(12)	12,000	0	12,000
OPERATING SERVICES	(13)	42,400	0	42,400
SUPPLIES	(14)	12,000	0	12,000
PROFESSIONAL SVCS	(15)	2,880	0	2,880
CAPITAL ASSETS	(16)	800	0	800
ADMINISTRATIVE	(17)	30,408	0	30,408
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		350,488	0	350,488

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	0	0	0	100	0	0
Intake Coordinator Supervisor/EI	19.22	1,734	33,327	100	0	33,327
Intake Coordinator	18.5	1,734	32,079	100	0	32,079
Intake Coordinator	18.21	1,734	31,576	100	0	31,576
Intake Coordinator	17.59	1,734	30,501	100	0	30,501
Admin. Clerk	16.28	1,734	28,230	100	0	28,230
			0		0	0
Total			155,713		0	155,713

Justification

Personnel Cost for Region 10.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA/Med	11,910	100	0	11,910
Health Insurance	25,871	100	0	25,871
Dental Insurance	1,993	100	0	1,993
Life Insurance	2,000	100	0	2,000
Mutual of America (retirement)	10,900	100	0	10,900
			0	0
Total	52,674		0	52,674

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents a 33.8273% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Intake Coordinator Supervisor/EI	2,500	100	0	2,500
Intake Coordinator	2,500	100	0	2,500
Intake Coordinator	2,500	100	0	2,500
Intake Coordinator	2,500	100	0	2,500
Total	10,000		0	10,000

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore four staff will travel to 1 parish in Region 10.



<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$1400 x 10)	14,000	100	0	14,000
Utilities	0	100	0	0
Telephone/Cell phone (\$850 x 10)	8,500	100	0	8,500
Maintenance of Equipment (\$325 x 10)	3,250	100	0	3,250
IT/IT Audit (\$625 x 10)	6,250	100	0	6,250
Liability Insurance (\$200 x 10)	2,000	100	0	2,000
Workers Compensation (\$66.66 x 10)	667	100	0	667
Unemployment Insurance (\$66.70 x 10)	667	100	0	667
			0	0
<b>Total</b>	<b>35,334</b>		<b>0</b>	<b>35,334</b>

Justification

Rent, telephone, cell phones, fax, computers ,copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Office-paper, pens, file folders, etc - \$1000 x 10	10,000	100	0	10,000
<b>Total</b>	<b>10,000</b>		<b>0</b>	<b>10,000</b>

Justification

Purchase of folders, toners, copy paper, pens, etc. are necessary supplies used in the daily operation.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Audit (\$240 x 10)	2,400	100	0	2,400
<b>Total</b>	<b>2,400</b>		<b>0</b>	<b>2,400</b>

Justification

Audit services yearly.





LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Southeastern Louisiana Area Health Edu FROM: 7/1/19 TO: 4/30/20

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	155,713	0	155,713
RELATED BENEFITS	(41)	52,674	0	52,674
TRAVEL	(12)	10,000	0	10,000
OPERATING SERVICES	(13)	35,334	0	35,334
SUPPLIES	(14)	10,000	0	10,000
PROFESSIONAL SVCS	(15)	2,400	0	2,400
CAPITAL ASSETS	(16)	800	0	800
ADMINISTRATIVE	(17)	25,357	0	25,357
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		292,278	0	292,278

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

CONTRACT BETWEEN STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS

CFMS: 735213

DHH: 060723

Agency # 340

Office for Citizens with Developmental Disabilities  
EarlySteps, Louisiana's Early Intervention System  
AND

Southeastern Louisiana Area Health Education Center  
FOR

☐ Personal Services ☐ Professional Services ☐ Consulting Services ☒ Social Services

1) Contractor (Legal Name if Corporation) Southeastern Louisiana Area Health Education Center			5) Federal Employer Tax ID# or Social Security # 72115501400 (Must be 11 Digits)	
2) Street Address 1302 J.W. Davis Drive			6) Parish(es) Served 26	
City Hammond	State LA	Zip Code 70403	7) License or Certification # NA	
3) Telephone Number (985) 345-1119			8) Contractor Status  Subrecipient: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Corporation: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No For Profit: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Publicly Traded: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
4) Mailing Address (if different)				
City	State	Zip Code	8a) CFDA#(Federal Grant #) 84.181A	

9) Brief Description Of Services To Be Provided:  
Contractor will provide System Point of Entry (SPOE) services with the Region 10 parishes for EarlySteps, Louisiana's Early Intervention System and its eligible infants & toddler from birth to three as regulated under Part C of the Individuals with Disabilities Education Improvement Act (IDEA). Contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and supporting the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family . The contractor will maintain electronic and hard copy paper files of the early intervention records. Contractor shall perform work in accordance with Attachment II: Statement of Work.

10) Effective Date 05-01-2015	11) Termination Date 04-30-2018
12) This contract may be terminated by either party upon giving thirty (30) days advance written notice to the other party with or without cause but in no case shall continue beyond the specified termination date.	
13) Maximum Contract Amount \$ 1,047,837.00 14/15-57,205 15/16- 346,746 16/17-351,608 17/18 - 292,278	

14) Terms of Payment  
If progress and/or completion of services are provided to the satisfaction of the initiating Office/Facility, payments are to be made as follows:  
Fiscal will pay invoices within (20) days after receipt.

Travel will be reimbursed in accordance with PPM 49.

Authorization for payment will be made upon submission of deliverables summarized within monthly report and itemized invoices after approval from the Program Manager. Contractor will be paid on a cost reimbursement basis in accordance with attached budget.

Contractor obligated to submit final invoices to Agency within fifteen (15) days after termination of contract.

PAYMENT WILL BE MADE ONLY UPON APPROVAL OF:	First Name Brenda	Last Name Sharp
	Title Program Manager	Phone Number (225) 342-0095

15) Special or Additional Provisions which are incorporated herein, if any (IF NECESSARY, ATTACH SEPARATE SHEET AND REFERENCE):

Attachment I: HIPAA Addendum  
Attachment II: Statement of Work  
Attachment III Budget  
Attachment IV: Monthly Invoice  
Attachment V: SPOE Monthly Report  
Attachment VI: Order of Precedence

Exhibit I: Board Resolution  
Exhibit II: Multi Year Letter



**During the performance of this contract, the Contractor hereby agrees to the following terms and conditions:**

1. Contractor hereby agrees to adhere as applicable to the mandates dictated by Titles VI and VII of the Civil Rights Act of 1964, as amended; the Vietnam Era Veterans' Readjustment Assistance Act of 1974; Americans with Disabilities Act of 1990 as amended; the Rehabilitation Act of 1973 as amended; Sec. 202 of Executive Order 11246 as amended, and all applicable requirements imposed by or pursuant to the regulations of the U. S. Department of Health and Human Services. Contractor agrees not to discriminate in the rendering of services to and/or employment of individuals because of race, color, religion, sex, age, national origin, handicap, political beliefs, disabled veteran, veteran status, or any other non-merit factor.
2. Contractor shall abide by the laws and regulations concerning confidentiality which safeguard information and the patient/client confidentiality. Information obtained shall not be used in any manner except as necessary for the proper discharge of Contractor's obligations. (The Contractor shall establish, subject to review and approval of the Department, confidentiality rules and facility access procedures.)
3. The State Legislative Auditor, Office of the Governor, Division of Administration, and Department Auditors or those designated by the Department shall have the option of auditing all accounts pertaining to this contract during the contract and for a three year period following final payment. Contractor grants to the State of Louisiana, through the Office of the Legislative Auditor, Department of Health and Hospitals, and Inspector General's Office, Federal Government and/or other such officially designated body the right to inspect and review all books and records pertaining to services rendered under this contract, and further agrees to guidelines for fiscal administration as may be promulgated by the Department. Records will be made available during normal working hours.

Contractor shall comply with federal and state laws and/or DHH Policy requiring an audit of the Contractor's operation as a whole or of specific program activities. Audit reports shall be sent within thirty (30) days after the completion of the audit, but no later than six (6) months after the end of the audit period. If an audit is performed within the contract period, for any period, four (4) copies of the audit report shall be sent to the Department of Health and Hospitals, Attention: **Division of Fiscal Management, P.O. Box 91117, Baton Rouge, LA 70821-3797** and one (1) copy of the audit shall be sent to the **originating DHH Office**.

4. Contractor agrees to retain all books, records and other documents relevant to the contract and funds expended thereunder for at least four (4) years after final payment or as prescribed in 45 CFR 74.53 (b) whichever is longer. Contractor shall make available to the Department such records within thirty (30) days of the Department's written request and shall deliver such records to the Department's central office in Baton Rouge, Louisiana, all without expense to the Department. Contractor shall allow the Department to inspect, audit or copy records at the contractor's site, without expense to the Department.
5. Contractor shall not assign any interest in this contract and shall not transfer any interest in the same (whether by assignment or novation), without written consent of the Department thereto, provided, however, that claims for money due or to become due to Contractor from the Department under this contract may be assigned to a bank, trust company or other financial institution without advanced approval. Notice of any such assignment or transfer shall be promptly furnished to the Department and the Division of Administration, Office of Contractual Review.
6. Contractor hereby agrees that the responsibility for payment of taxes from the funds received under this contract shall be Contractor's. The contractor assumes responsibility for its personnel providing services hereunder and shall make all deductions for withholding taxes, and contributions for unemployment compensation funds.
7. Contractor shall obtain and maintain during the contract term all necessary insurance including automobile insurance, workers' compensation insurance, and general liability insurance. The required insurances shall protect the Contractor, the Department of Health and Hospitals, and the State of Louisiana from all claims related to Contractor's performance of this contract. Certificates of Insurance shall be filed with the Department for approval. Said policies shall not be canceled, permitted to expire, or be changed without thirty (30) days advance written notice to the Department. Commercial General Liability Insurance shall provide protection during the performance of work covered by the contract from claims or damages for personal injury, including accidental death, as well as claims for property damages, with combined single limits prescribed by the Department.
8. In cases where travel and related expenses are required to be identified separate from the fee for services, such costs shall be in accordance with State Travel Regulations. The contract contains a maximum compensation which shall be inclusive of all charges including fees and travel expenses.
9. No funds provided herein shall be used to urge any elector to vote for or against any candidate or proposition on an election ballot nor shall such funds be used to lobby for or against any proposition or matter having the effect of law being considered by the legislature or any local governing authority. This provision shall not prevent the normal dissemination of factual information relative to a proposition or any election ballot or a proposition or matter having the effect of law being considered by the legislature or any local governing authority. Contracts with individuals shall be exempt from this provision.
10. Should contractor become an employee of the classified or unclassified service of the State of Louisiana during the effective period of the contract, Contractor must notify his/her appointing authority of any existing contract with State of Louisiana and notify the contracting office of any additional state employment. This is applicable only to contracts with individuals.



11. All non-third party software and source code, records, reports, documents and other material delivered or transmitted to Contractor by State shall remain the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract. All non-third party software and source code, records, reports, documents, or other material related to this contract and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract.

12. Contractor shall not enter into any subcontract for work or services contemplated under this contract without obtaining prior written approval of the Department. Any subcontracts approved by the Department shall be subject to conditions and provisions as the Department may deem necessary; provided, however, that notwithstanding the foregoing, unless otherwise provided in this contract, such prior written approval shall not be required for the purchase by the contractor of supplies and services which are incidental but necessary for the performance of the work required under this contract. No subcontract shall relieve the Contractor of the responsibility for the performance of contractual obligations described herein.

13. No person and no entity providing services pursuant to this contract on behalf of contractor or any subcontractor is prohibited from providing such services by the provisions of R.S. 42:1113 as amended in the 2008 Regular Session of the Louisiana Legislature.

14. No claim for services furnished or requested for reimbursement by Contractor, not provided for in this contract, shall be allowed by the Department. In the event the Department determines that certain costs which have been reimbursed to Contractor pursuant to this or previous contracts are not allowable, the Department shall have the right to set off and withhold said amounts from any amount due the Contractor under this contract for costs that are allowable.

15. This contract is subject to and conditioned upon the availability and appropriation of Federal and/or State funds; and no liability or obligation for payment will develop between the parties until the contract has been approved by required authorities of the Department; and, if contract exceeds \$20,000, the Director of the Office of Contractual Review, Division of Administration in accordance with La. R.S. 39:1502..

16. The continuation of this contract is contingent upon the appropriation of funds from the legislature to fulfill the requirements of the contract. If the Legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds are not appropriated.

17. Any alteration, variation, modification, or waiver of provisions of this contract shall be valid only when reduced to writing, as an amendment duly signed, and approved by required authorities of the Department; and, if contract exceeds \$20,000, approved by the Director of the Office of Contractual Review, Division of Administration. Budget revisions approved by both parties in cost reimbursement contracts do not require an amendment if the revision only involves the realignment of monies between originally approved cost categories.

18. Any contract disputes will be interpreted under applicable Louisiana laws and regulations in Louisiana administrative tribunals or district courts as appropriate.

19. Contractor will warrant all materials, products and/or services produced hereunder will not infringe upon or violate any patent, copyright, trade secret, or other proprietary right of any third party. In the event of any such claim by any third party against DHH, the Department shall promptly notify Contractor in writing and Contractor shall defend such claim in DHH's name, but at Contractor's expense and shall indemnify and hold harmless DHH against any loss, expense or liability arising out of such claim, whether or not such claim is successful. This provision is not applicable to contracts with physicians, psychiatrists, psychologists or other allied health providers solely for medical services.

20. Any equipment purchased under this contract remains the property of the Contractor for the period of this contract and future continuing contracts for the provision of the same services. Contractor must submit vendor invoice with reimbursement request. For the purpose of this contract, equipment is defined as any tangible, durable property having a useful life of at least (1) year and acquisition cost of \$1000.00 or more. The contractor has the responsibility to submit to the Contract Monitor an inventory list of DHH equipment items when acquired under the contract and any additions to the listing as they occur. Contractor will submit an updated, complete inventory list on a quarterly basis to the Contract Monitor. Contractor agrees that upon termination of contracted services, the equipment purchased under this contract reverts to the Department. Contractor agrees to deliver any such equipment to the Department within 30 days of termination of services.


21. Contractor agrees to protect, indemnify and hold harmless the State of Louisiana, DHH, from all claims for damages, costs, expenses and attorney fees arising in contract or tort from this contract or from any acts or omissions of Contractor's agents, employees, officers or clients, including premises liability and including any claim based on any theory of strict liability. This provision does not apply to actions or omissions for which LA R.S. 40:1299.39 provides malpractice coverage to the contractor, nor claims related to treatment and performance of evaluations of persons when such persons cause harm to third parties (R.S. 13:5108.1(E)). Further it does not apply to premises liability when the services are being performed on premises owned and operated by DHH.

22. Any provision of this contract is severable if that provision is in violation of the laws of the State of Louisiana or the United States, or becomes inoperative due to changes in State and Federal law, or applicable State or Federal regulations.

23. Contractor agrees that the current contract supersedes all previous contracts, negotiations, and all other communications between the parties with respect to the subject matter of the current contract.

**THIS CONTRACT CONTAINS OR HAS ATTACHED HERETO ALL THE TERMS AND CONDITIONS AGREED UPON BY THE CONTRACTING PARTIES. IN WITNESS THEREOF, THIS CONTRACT IS SIGNED ON THE DATE INDICATED BELOW.**

Southeastern Louisiana Area Health Education Center



March 11, 2015

SIGNATURE

DATE

Brian P. Jakes, Sr.

NAME

Chief Executive Officer

TITLE

STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS

SIGNATURE

DATE

Kathy Kliebert

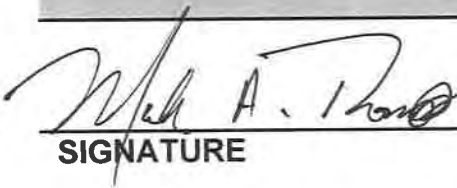
NAME

Secretary, Department of Health and Hospital or Designee

TITLE

EarlySteps, Louisiana's Early Intervention System

Office for Citizens with Developmental Disabilities



5-15-15

SIGNATURE

DATE

Brenda Sharp

NAME

Program Manager

TITLE

SIGNATURE

DATE

Mark A. Thomas

NAME

Assistant Secretary

TITLE



**Office of State Procurement  
PROACT Contract Certification of Approval**

**This certificate serves as confirmation that the Office of State Procurement has reviewed and approved the contract referenced below.**

**Reference Number:** 735213

**Vendor:** Southeastern Louisiana Area Health Education Center

**Description:** 735213 - Contractor to provide System Point of Entry (SPOE) Reg. 10.

**Approved By:** Pamela Rice

**Approval Date:** 7/01/2015

The above referenced number has been assigned by this office and will be used as identification for the approved contract. Please use this number when referring to the contract in any future correspondence or amendment(s).

The Internal Revenue Service (IRS) may find that this contract creates an employment relationship between your agency and the contractor. You should be advised that your agency is responsible for all taxes and penalties if such a finding is forthcoming. It is incumbent upon your agency to determine if an employee/employer relationship exists. Your agency must make the appropriate withholdings in accordance with law and IRS regulations, if applicable.

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## HIPAA Business Associate Addendum

This HIPAA Business Associate Addendum is hereby made a part of this contract in its entirety as Attachment \_\_\_\_\_ to the contract.

1. The Louisiana Department of Health and Hospitals ("DHH") is a Covered Entity, as that term is defined herein, because it functions as a health plan and as a health care provider that transmits health information in electronic form.
2. Contractor is a Business Associate of DHH, as that term is defined herein, because contractor either: (a) creates, receives, maintains, or transmits PHI for or on behalf of DHH; or (b) provides legal, actuarial, accounting, consulting, data aggregation, management, administrative, accreditation, or financial services for DHH involving the disclosure of PHI.
3. Definitions: As used in this addendum –
  - A. The term "HIPAA Rules" refers to the federal regulations known as the HIPAA Privacy, Security, Enforcement, and Breach Notification Rules, found at 45 C.F.R. Parts 160 and 164, which were originally promulgated by the U. S. Department of Health and Human Services (DHHS) pursuant to the Health Insurance Portability and Accountability Act ("HIPAA") of 1996 and were subsequently amended pursuant to the Health Information Technology for Economic and Clinical Health ("HITECH") Act of the American Recovery and Reinvestment Act of 2009.
  - B. The terms "Business Associate", "Covered Entity", "disclosure", "electronic protected health information" ("electronic PHI"), "health care provider", "health information", "health plan", "protected health information" ("PHI"), "subcontractor", and "use" have the same meaning as set forth in 45 C.F.R. § 160.103.
  - C. The term "security incident" has the same meaning as set forth in 45 C.F.R. § 164.304.
  - D. The terms "breach" and "unsecured protected health information" ("unsecured PHI") have the same meaning as set forth in 45 C.F.R. § 164.402.
4. Contractor and its agents, employees and subcontractors shall comply with all applicable requirements of the HIPAA Rules and shall maintain the confidentiality of all PHI obtained by them pursuant to this contract and addendum as required by the HIPAA Rules and by this contract and addendum.
5. Contractor shall use or disclose PHI solely: (a) for meeting its obligations under the contract; or (b) as required by law, rule or regulation (including the HIPAA Rules) or as otherwise required or permitted by this contract and addendum.
6. Contractor shall implement and utilize all appropriate safeguards to prevent any use or disclosure of PHI not required or permitted by this contract and addendum, including administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the electronic protected health information that it creates, receives, maintains, or transmits on behalf of DHH.
7. In accordance with 45 C.F.R. § 164.502(e)(1)(ii) and (if applicable) § 164.308(b)(2), contractor shall ensure that any agents, employees, subcontractors or others that create, receive, maintain, or transmit PHI on behalf of contractor agree to the same restrictions, conditions and requirements that apply to contractor with respect to such information, and it shall ensure that they implement reasonable and appropriate safeguards to protect such information. Contractor shall take all reasonable steps to ensure that its agents', employees' or subcontractors' actions or omissions do not cause contractor to violate this contract and addendum.
8. Contractor shall, within three (3) days of becoming aware of any use or disclosure of PHI, other than as permitted by this contract and addendum, report such disclosure in writing to the person(s) named in section 14 (Terms of Payment), page 1 of the CF-1. Disclosures which must be reported by contractor include, but are not limited to, any security incident, any breach of unsecured PHI, and any "breach of the security system" as defined in the Louisiana Database Security Breach Notification Law, La.R.S. 51:3071 *et seq.* At the option of DHH, any harm or damage resulting from any use or disclosure which violates this contract and addendum shall be mitigated, to the extent practicable, either: (a) by contractor at its own expense; or (b) by DHH, in which case contractor shall reimburse DHH for all expenses that DHH is required to incur in undertaking such mitigation activities.
9. To the extent that contractor is to carry out one or more of DHH's obligations under 45 C.F.R. Part 164, Subpart E, contractor shall comply with the requirements of Subpart E that apply to DHH in the performance of such obligation(s).
10. Contractor shall make available such information in its possession which is required for DHH to provide an accounting of disclosures in accordance with 45 CFR § 164.528. In the event that a request for accounting is made directly to contractor, contractor shall forward such request to DHH within two (2) days of such receipt. Contractor shall implement an appropriate record keeping process to enable it to comply with the requirements of this provision. Contractor shall maintain data on all disclosures of PHI for which accounting is required by 45 CFR § 164.528 for at least six (6) years after the date of the last such disclosure.
11. Contractor shall make PHI available to DHH upon request in accordance with 45 CFR § 164.524.
12. Contractor shall make PHI available to DHH upon request for amendment and shall incorporate any amendments to PHI in accordance with 45 CFR § 164.526.
13. Contractor shall make its internal practices, books, and records relating to the use and disclosure of PHI received from or created or received by contractor on behalf of DHH available to the Secretary of the U. S. DHHS for purposes of determining DHH's compliance with the HIPAA Rules.
14. Contractor shall indemnify and hold DHH harmless from and against any and all liabilities, claims for damages, costs, expenses and attorneys' fees resulting from any violation of this addendum by contractor or by its agents, employees or subcontractors, without regard to any limitation or exclusion of damages provision otherwise set forth in the contract.
15. The parties agree that the legal relationship between DHH and contractor is strictly an independent contractor relationship. Nothing in this contract and addendum shall be deemed to create a joint venture, agency, partnership, or employer-employee relationship between DHH and contractor.
16. Notwithstanding any other provision of the contract, DHH shall have the right to terminate the contract immediately if DHH determines that contractor has violated any provision of the HIPAA Rules or any material term of this addendum.
17. At the termination of the contract, or upon request of DHH, whichever occurs first, contractor shall return or destroy (at the option of DHH) all PHI received or created by contractor that contractor still maintains in any form and retain no copies of such information; or if such return or destruction is not feasible, contractor shall extend the confidentiality protections of the contract to the information and limit further uses and disclosure to those purposes that make the return or destruction of the information infeasible.

## ATTACHMENT II

### Statement of Work

#### **GOAL/PURPOSE**

The contractor will provide System Point of Entry services to infants and toddlers (birth to three years old) who have developmental delays or diagnosed medical conditions likely to result in developmental delays in accordance with the Individuals with Disabilities Education Improvement Act (IDEA). The contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family in EarlySteps, Louisiana's IDEA Part C system.

#### **Deliverable 1**

The contractor shall provide qualified and trained Intake Support Coordinators to provide the required services outlined below and to function as the EarlySteps initial point of contact for the designated region.

**Deliverable 1.1:** Contractor will receive referrals from a parent, family member, physician, teacher, service providers, agencies, etc. Contractor will respond to each referral within specified timelines, and the following services will be offered: intake coordination via face-to-face interview and/or telephone contact, screening of the child, review of referral information and concerns, access of other health or evaluation information. The contractor must conduct the face-to-face interview with the family in their natural environment unless otherwise arranged with the family and with documentation that supports the family's decision.

**Deliverable 1.2:** Contractor will ensure that completion of the initial face-to-face interview with the family will include providing the following information: introduction of the family to the EarlySteps system and providing to the family, in the family's primary language or other mode of communication (including in writing), their procedural safeguards and their right to due process under IDEA-Part C in 34 CFR 303.400-438 related to intake and eligibility procedures.

**Deliverable 1.3:** Contractor will receive informed written consent from the parent/legal guardian to participate in the EarlySteps system in order to proceed with the intake process, eligibility process, accessing of information requests and initial IFSP development.

**Deliverable 1.4:** Contractor will request and document receipt of information from appropriate health, medical, educational, and other community services providers with parental consent.

**Outcome 1.5:** Contractor will complete the family interview and developmental screening of each referred child using the Ages and Stages Questionnaire or other tool approved by EarlySteps for children referred for developmental delay.

**Deliverable 1.6:** Contractor will ensure receipt of all relevant information from the family to complete intake process including: Medicaid eligibility verification, insurance and income verification and eligibility for and referral to other community programs/services.

- The SPOE shall verify Medicaid eligibility according to the requirements specified in Chapter 4 of the Practice Manual located at <http://www.earlysteps.dhh.louisiana.gov>.

**Deliverable 1.7:** Contractor will conduct a determination of need coordinated with the EarlySteps central and regional office staff, to access the surrogate parent system. The contractor's role shall include: Submitting any such names and addresses to OCDD for appropriate surrogate parent action, using the state-developed form; assisting OCDD in recruiting surrogate parent volunteers; assisting OCDD with local surrogate parent training if necessary; reviewing the child's situation in regards to whether a parent or guardian is present; and determining if a referred child would benefit from a surrogate parent. Within ten (10) business days of the child's initial referral to the contractor, the contractor must complete and return to OCDD the designated form for each child believed to be eligible to receive a surrogate appointment based on the criteria set forth under 34 CFR 303.406. OCDD shall appoint a surrogate parent and inform the contractor of the appointment.

**Deliverable 1.8:** Contractor will send an acknowledgement of receipt of referral form to referral sources using a standard acknowledgement letter provided by EarlySteps.

**Deliverable 1.9:** Contractor will send certified letters to families when contact attempts fail.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of referrals processed within 3 business days.
- Documentation of percentage of face-to-face interviews with families within 10 business days.
- Documentation of percentage of referral acknowledgements sent within 5 business days.

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### Statement of Work

- Documentation of percentage of certified letters sent to families after 3 documented contact attempts.
- Reports reflect accuracy of chart data within acceptable parameters as determined in monitoring activities.
- Documentation that parent CQI survey results shall be conducted by the contractor and consistent with targets set for the Louisiana Annual Performance Report (APR) for Indicator 4 for appropriate SPOE region. The APR is posted on the EarlySteps website.

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports
- Review results of parent survey data
- Review chart for required activity documentation

#### **Deliverable 2: Conduct Eligibility Determination Process**

The contractor shall coordinate eligibility determination for each child who enters the process following screening, arrange for the eligibility evaluator, early intervention consultant, family, and other multidisciplinary team members as appropriate, and facilitate the eligibility and/or IFSP team meetings. (Approximately 5,100 eligibility evaluations were coordinated by the SPOEs in 2012-13).

Deliverable 2.1: Contractor will collect relevant assessments and evaluations shall be collected from other sources including the referral source.

Deliverable 2.2: Contractor will assemble appropriate multidisciplinary team to review the referral information and previous assessment/medical information and to participate in the eligibility determination process in accordance with IDEA Part C regulations and EarlySteps policies. This team shall be an in-house multidisciplinary team with experience with evaluating infants and toddlers with disabilities, including the early intervention consultant, and/or shall be selected from the EarlySteps-enrolled early intervention evaluation providers. Payment for the EarlySteps-enrolled evaluators will be billed by them separately according to current EarlySteps process, not through the SPOE contractor.

Deliverable 2.3: Contractor will complete the determination of eligibility as required under IDEA Part C IDEA and state and federal regulations, the EarlySteps Practice Manual and the training modules: Making Informed Decisions, Battelle Developmental-2 Inventory and the Autism Screening module. Autism screening shall be conducted with children 18 months of age and annually thereafter.

Deliverable 2.4: Contractor will conduct referrals to community supports and resources and other services, including referral for EPSDT case management for children not eligible for EarlySteps.

#### **Performance Measures**

Contractor shall provide or maintain:

- The contractor shall meet the timelines specified in the RFP. EIDS captures the data based on SPOE performance. Reports shall be generated based on these activities. In addition the SPOE shall submit a monthly performance report which is included as Attachment XI. Accurate completion of data entry results shall be in successfully issued authorizations.
- Documentation of percentage of children processed from referral to initial IFSP within 45 calendar days, consistent with targets for APR and regional targets as specified in Attachment VIII
- Documentation of parent CQI survey results shall be consistent with targets set in Louisiana APR Indicator 4
- Documentation of identification of children shall be referred to EPSDT by the Bureau of Health Services Financing contractor
- Documentation of the number of eligibility evaluations completed by the multidisciplinary eligibility team

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports and self-assessments
- Review of the results of parent survey data.
- Review of chart for required documentation



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#### **Deliverable 3: Assess family concerns, priorities, and resources and develop initial Individualized Family Service Plan (IFSP)**

The contractor will coordinate the results of the evaluation and assessment process including the family-directed assessment, information collected during the intake process, results of the evaluation and assessment data, using a team-based model, which supports decision-making necessary to develop the IFSP as specified below:

**Deliverable 3.1:** Contractor will ensure that family concerns, priorities and resources are accurately reflected in the IFSP following an assessment conducted as part of the eligibility determination process for families of eligible children.

**Deliverable 3.2:** Contractor will ensure that the family chooses a Family Service Coordinator and Providers from the Service Matrix.

**Deliverable 3.3:** Contractor will ensure that an IFSP team is assembled that consist of the following members:

- Parent(s) of the child
- Other family members, requested by the parent(s)
- An advocate or other person(s) requested by the family,
- The Family Service Coordinator selected by the family at the time of the initial referral, as defined under 34 CFR 303.34 that has been designated responsible for the implementation of the IFSP.
- Person(s) involved in conducting the evaluations and assessments, in-person or through other means, such as participation by telephone conference call or through pertinent records that are available at the meeting. A knowledgeable authorized representative may also attend the meeting as a substitute for the person unable to attend [34 CFR 303.343 (a) (v)], and
- Service providers [34 CFR 303.343 (a) (vi)] as appropriate.

**Deliverable 3.4:** Contractor will complete the initial IFSP within 45 calendar days of referral that identify child and family priorities according to IFSP requirements.

**Deliverable 3.5:** Contractor will complete referrals and transition activities for children referred to the OCDD and the local education agency (LEA) prior to the child's 3rd birthday according to EarlySteps and OCDD policy. Referrals to other resource agencies, such as Families Helping Families, Child Care Resource and Referral Agencies, Head Start and Early Head Start, etc., identified during intake process shall be made.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of completion of activities associated with referral, eligibility determination, and initial IFSP within 45calendar days.
- Documentation that IFSPs are complete and accurately identify child and family outcomes from assessment process
- Documentation of average costs of services within service guidelines  
EarlySteps utilizes Service Guidelines called IFSP Team services process found in Chapter 6 of the Practice Manual which outlines a process based upon 24 hours of services in 6 months. These are the service guidelines referred to in the RFP from which average per child costs can be determined. Average per child costs are typically \$2100 per child for service costs only. Variations from this guideline are allowable according to the defined process. SPOEs shall follow the guidelines in the development of the initial IFSP so that cost effectiveness is demonstrated.
- Documentation of percentage of IFSPs completed which meet targets for Louisiana APR indicators 1, 2, 7, and 8

#### **Monitoring Plan**

The contract monitor will:

- Review of chart for hard copy of IFSP, transition meeting and documentation of referrals sent to OCDD and the LEA
- Review of EIDS data is within established parameters for region according to quarterly EIDS reports
- Review of Corrective Action Plans developed and timely correction of any targets not met
- Review of monthly report submitted to regional and central office staff. Attachment XI of the RFP outlines the data that EarlySteps requires for monthly reporting by the SPOE.
- Review evidence of team process in IFSP development according to signatures of participating members.

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**Deliverable 4: Provide administrative functions related to collecting family financial information, issuing service authorizations and data entry for the Central Finance Office (CFO).**

The contractor will perform activities which support timely service delivery for enrolled infants and toddlers and accurate, timely data reporting as specified below:

**Deliverable 4.1:** Contractor will submit Service authorizations to the CFO within 2 business days of the initial IFSP meeting.

**Deliverable 4.2:** Contractor will ensure that subsequent service authorizations are received from and processed for the FSC and service providers within 3 days following an IFSP review /revision.

**Deliverable 4.3:** Contractor will ensure that each child's Master record is maintained as specified below.

**Deliverable 4.4:** Contractor will ensure that data uploads to CFO are conducted according to the established schedule.

**Deliverable 4.5:** Contractor will ensure that Family income information is collected during the intake process for entry into EIDS and issuance of the Family Cost Participation Notice Statement. Ongoing financial data entry will occur annually as well.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of IFSPs completed which shall meet targets for Louisiana APR Indicators 1, 2, 7, and 8
- Documentation of IFSP services fully authorized for initial service provision shall occur within 30 days of parent consent. Service providers shall be able to provide timely services following access to service authorizations
- Documentation of Family Cost Share shall be accurately calculated requiring a minimum of system adjustments following entry

#### **Monitoring Plan**

The contract monitor will:

- Review chart for master copy of IFSP and other documentation for child master record
- Review provider billing processed by CFO and Medicaid
- Review EIDS data within state-established parameters

**Deliverable 5: Establish and Maintain Record Keeping System according to Federal and State Requirements**

The contractor shall establish and maintain records for each child as well as in support of business operations as specified below:

**Deliverable 5.1:** Contractor will maintain all early intervention records shall be maintained in accordance with the applicable regulations under IDEA, Family Education Rights and Privacy Act (FERPA) and Education Department General Accounting Rules (EDGAR), including hard copy paper file and electronic file record, as described below, regardless of the outcome of the intake process (i.e. eligible or not, accept or decline services, etc.).

**Deliverable 5.2:** Contractor will use the Early Intervention data system software (EIDS) operated by the CFO contractor for accurate data entry as the link between the contractor's records and the EIDS. EIDS is provided at no cost to the contractor.

**Deliverable 5.3:** Contractor will obtain all notices of actions and consents; family support coordination documentation including meeting notifications, IFSP reviews/evaluations, new IFSPs, correspondence, family income information, and releases in the hard copy file record in the format required shall be maintained.

**Deliverable 5.4:** Contractor will utilize required EarlySteps forms for record keeping according to the instructions provided in the EarlySteps Practice Manual.

**Deliverable 5.5:** Contractor will ensure data entry in EIDS is accurate such that OCDD is able to:

- Identify gaps in the local service delivery system and the need for resource development, personnel recruitment, etc.;

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- Conduct financial forecasting, fund acquisition, and other reporting functions accurately
- Verify required system components (e.g. IFSP, releases, consents, etc.) are completed according to state and federal regulations.
- Submit eligibility verification and prior authorization data to Molina the fiscal intermediary for the Bureau of Health Services Financing.

**Deliverable 5.6:** Contractor will ensure all child and family information, medical records, and data elements collected, maintained or used in the administration of the contract from unauthorized disclosure as set forth under 34 CFR 303.406 shall be protected according to:

- Safeguards that restrict the use or disclosure of information concerning children and families to purposes directly connected with the administration of the contract.
- Records, reports, documentation, data, and material developed or acquired by the contractor, as a direct requirement specified in the contract shall become the property of the State of Louisiana.
- Information gained by the contractor as a result of the activities conducted under the contract shall be confidential, and no reports, documentation, or material prepared as required by or obtained through the contract shall be released to the public without the prior written consent of OCDD and must include the identification of EarlySteps, OCDD and the State of Louisiana.
- Signatures obtained from all employees or subcontractors of the contractor agreeing to the confidentiality provisions of the contract as required by the OCDD.

**Deliverable 5.7:** Contractor will maintain financial, time, and accounting records and evidence pertaining to the contract in accordance with generally accepted accounting principles and other procedures as specified by DHH/OCDD. These records must be made available to DHH/OCDD, and/or its designees, and the legislative auditor during the contract period, any renewal period, and for the period of time specified below for retention of records.

**Deliverable 5.8:** Contractor will securely store books, records, evidence, and other documents relevant to the contract for a period of four (4) years after final payment and the completion of an audit (if an audit is performed). Any records or documents involved in, related to, or required for any litigation, claim, negotiation, audit, or other such action must be retained until the resolution of the action, or until four years have passed after final payment and completion of any required audit, whichever is later. The contractor shall allow authorized representatives of the State of Louisiana agencies and the federal government to inspect these records upon request.

### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of records is complete, accurate and meets Federal and State Requirements.
- Evidence that hard copy documentation shall be consistent with EIDS data.
- Documentation of records are maintained according to the required timelines

### **Monitoring Plan**

The contract monitor will:

- Review charts
- Conduct agency Audits
- Review Data Report

### **Deliverable 6: Hire and Train staff to meet functions of SPOE office (see Attachment VI for Job Descriptions)**

The Contractor will conduct activities which meet personnel requirements and needs of the region as specified below. Key personnel commitments made in the contract shall only be changed with prior written approval of DHH/OCDD. The contractor shall be responsible for the training and education of new personnel at the contractor's expense. DHH/OCDD shall not be liable for any cost related to the training or education of new or substitute staff.

**Deliverable 6.1:** Contractor will hire personnel who will demonstrate effective service provision as required in the contract and meet qualifications specified.

**Deliverable 6.2:** Contractor will hire appropriate number of staff necessary to provide all required services.

**Deliverable 6.3:** Contractor will hire staff members that meet specified qualifications.

**Deliverable 6.4:** Contractor will provide additional necessary support (such as data support) to assist the Intake Service Coordinators in providing the services required herein.

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**Deliverable 6.5:** Contractor and/or sub-contractor will, if requested by DHH, provide all necessary authorizations for the background checks for all personnel. The contractor must arrange for background checks for required staff according to requirements of the Department of Children and Family Services. This requirement states that an employee or subcontractor of the contractor must pass a background check prior to employment and or initiation of a contract and every three years thereafter or according to the requirements of RS 49:950 et seq. (The State reserves the right to conduct a background check on any contractor or sub-contractor personnel).

#### Performance Measures

Contractor shall provide or maintain:

- Supporting documentation that all staff meets specified qualifications.
- Documentation of adequate staffing of program results in timeline requirements being met according to APR Indicators 1, 7, and 8.

#### Monitoring Plan

The contract monitor will:

- Review Charts -Personnel files
- Review EIDS reports
- Review Staff Training Records
- Review documentation of Verification of Background Checks

**Deliverable 7: Ensure that all licensing and training requirements are met according to the *Case Management Services Provider Manual*, reissued 7/01/2002.**

The contractor will arrange and/or provide case management training and EarlySteps training as specified below:

**Deliverable 7.1:** Contract will ensure that each Intake Service Coordinator and Intake Service Coordinator/Early Intervention Consultant-Supervisor complete required licensing and EarlySteps training as specified below and participate in any required meetings. In addition, the intake service coordinators must adhere to the requirements of the EarlySteps Practice Manual.

EarlySteps Training Requirements shall include the following:

- Module 1: Orientation—EarlySteps: A New Look
- Module 2: Evaluation and Assessment—Making Informed Decisions on-line module and with a face-to-face component (when available) through EarlySteps
- Module 3: Spectrum of Child Development
- Module 4: Family-Centered Practices
- Module 5: Introduction to Teaming Practices
- Module 6: Introduction to the Individualized Family Services Plan on-line and Individualized Family Service Plan Process-a face-to-face component, when available.
- Module 7: Concerns, Priorities and Resource Process, a face-to-face training activity, when available
- Module 8: Talking to Families about their Rights, an online module
- Face-to-Face Orientation to EarlySteps by Regional Coordinator
- Technical Assistance provided at a minimum of 1 hour per month with the Regional Coordinator in region served; meetings may increase based on the SPOE needs. All SPOE staff will be required to attend scheduled meetings.
- SPOE software training
- Additional training as required by DHH/OCDD

**Additional Case Management Licensing Training Requirements:**

Orientation- at least sixteen (16) hours must be provided to all staff, volunteers, and students within five (5) working days of employment. A minimum of eight (8) hours of the orientation training must cover orientation to early intervention including, but not limited to, specific service needs and resources. This orientation must include, at a minimum:

- Case Management Provider policies and procedures.
- Medicaid and other applicable DHH policies and procedures.
- Confidentiality.
- Documentation in case records.
- Parents' Rights under IDEA Part C.
- Recipient rights protection and reporting of violations.
- Recipient abuse and neglect reporting policies and procedures.
- Recognizing and defining abuse and neglect.
- Emergency and safety procedures.

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- Data management and record keeping.
- Infection control and universal precautions.
- Working with the early intervention population.
- Professional ethics.
- Outcome measures.

Deliverable 7.2: Contractor will ensure that in addition to the required sixteen (16) hours of orientation, all new employees without documented training must receive an additional minimum sixteen (16) hours of training during the first ninety (90) calendar days of employment. This training must be related to the population of infants and toddlers with disabilities to be served, must include specific knowledge, skills, and techniques, and must include the training modules listed above.

Deliverable 7.3: Contractor will ensure that an individual with demonstrated knowledge of both the training topics and the target population provide this training. This training must include the following at a minimum:

- Assessment techniques.
- Support and service planning.
- Support and service planning for children with complex medical needs
- Resource identification.
- Interviewing and interpersonal skills.
- Data management and record keeping.
- Communication skills
- Cultural awareness.
- Personal outcome measures.

Deliverable 7.4: Contract will ensure that new employees do not assume service coordinator responsibility until the orientation is satisfactorily completed. This additional training may be counted as part of the required 40 annual hours. The following is a list of suggested additional topics for training:

- Nature of illness or disability, including symptoms and behavior.
- Pharmacology.
- Potential array of services for the population.
- Building natural support system.
- Family dynamics.
- Developmental life stages.
- First aid/CPR.
- Signs and symptoms of mental illness, alcohol, and drug addiction, mental retardation/developmental disabilities and head injuries.
- Monitoring techniques.
- Advocacy.
- Behavior management techniques.
- Values clarification/goals and objectives.
- Available community resources.
- Cultural diversity.
- Health management.
- Team building/interagency collaboration.
- Transition/closure.
- Facilitating team meetings.
- Stress and time management.
- Legal issues.
- Outcome measures.

Deliverable 7.5: Contractor will ensure that individuals who supervise Intake Service Coordinators complete a minimum of 40 hours of training a year. Suggested topics for supervisory training include:

- Professional ethics
- Process for interviewing, screening, and hiring staff
- Orientation/in service training of staff
- Evaluating staff
  - Approaches to supervision
  - Managing caseload size
  - Conflict resolution
  - Documentation
  - Time management

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The contractor shall print EarlySteps Practice Manual and any updates and shall make them available to all of the contractor's staff. Verification of training on the program practice manual shall be documented by the contractor. The manual is available on the website at <http://www.earlysteps.dhh.louisiana.gov/>.

#### Performance Measures

Contractor shall provide or maintain:

- Documentation of personnel records that include - Time, date, trainer, trainer's qualifications and agenda signed by supervisor, documentation of training provided by outside entities or organizations to include certificate of attendance signed by trainer or training organizations.

#### Monitoring Plan

The contract monitor will:

- Review Personnel File
- Review attendance records
- Review Training and Supervision Logs

#### Deliverable 8: Ensure quality of data reporting and quality assurance

The contractor will develop and implement quality management strategies which assure quality of contractor and EarlySteps system implementation and accuracy of data entry and reporting as follows:

Deliverable 8.1: Contractor will develop written procedures for performance of the services, as required herein, within 90 calendar days of the initiation of the contract which reflect provisions of the EarlySteps system in a prompt, professional, family-centered, equitable, consistent, and culturally competent manner that ensures:

- Each referred child shall be guaranteed equal and timely access to the services available through the EarlySteps system or referred to other appropriate services, regardless of the nature of the child's disability or the degree of disability, family educational/socioeconomic status, primary language or geographic location.
- Families shall receive accurate and timely information, knowledge of choices or options available, and shall be given an explanation of their rights, opportunities and responsibilities under both Part C federal law and state law.
- Collaborative relationships with referring agencies, providers and other community agencies are developed which support the EarlySteps team-based service delivery model.
- Access for children and their families to systems and services that will assist in meeting their needs including those related to the child's developmental concerns as well as enhancing the family's capacity in meeting the needs of their child.
- Confidentiality of data, including medical records, payment information, child and family information, and early intervention service records shall be maintained
- Data shall be entered accurately and in a timely manner
- A written plan for conducting a self-evaluation and report findings to OCDD shall be developed and implemented by the Contractor throughout the Contractor's organization.
- A written approved Quality Enhancement Plan that engages in learning or collecting performance information to determine how well they are meeting the Contractor's goals; responding or acting in ways to improve performance, implementing or activating a plan that has well defined goals and objectives, and evaluating and monitoring the implementation of the quality project

Deliverable 8.2: Contractor will ensure that data management results in accurate data reporting which meets state and federal requirements such that:

- Procedures which ensure confidentiality of all contents including medical records, payment information, child and family information, and early intervention service records shall be implemented.
- Reporting requirement established by OCDD including monthly reports, corrective action plans, self-assessments and Individual Family Service Plans (IFSPs) shall be met.
- Procedures shall ensure timely, accurate input of data into EIDS.

#### Performance Measures

Contractor shall provide or maintain:

Documentation of policy manual development within 90 days of contract initiation which shall include, but shall not be limited to, the following:

- Anti-discrimination
- Evaluations
- Promotion



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- Disciplinary actions
- Termination
- Employee grievances
- Continuous quality management
- Training requirements

A written Quality Enhancement Plan must be developed within 90 days of contract initiation and approved by OCDD which shall include:

- Contractor's vision and mission
- Establishing a Quality Council
- Establishing an Organizational Infrastructure to Support Quality QM Policy and procedures
- Evaluating Fidelity of Implementation of the Contractor's plan and updates
- Quality management committee which includes stakeholders
- Data collection and analysis
- Procedures for conducting self-evaluation and other quality enhancements and procedures to report findings to OCDD according to established guidelines
- Training
- Procedures for determination of consumer satisfaction and means to address concerns identified

#### **Monitoring Plan**

The contract monitor will:

- Review policy manuals and quality assurance guidelines
- Review data reporting to ensure it meets schedules and results within expected parameters

DHH Contract Budget Detail

Attachment III

FY 14/15

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	0	0	0	0	0	0
Intake Coordinator Supervisor/EI	19.27	346	6,667	100	0	6,667
Intake Coordinator	18.55	346	6,418	100	0	6,418
Intake Coordinator	18.25	346	6,315	100	0	6,315
Intake Coordinator	17.63	346	6,100	100	0	6,100
Admin. Clerk	16.32	346	5,647	100	0	5,647
			0		0	0
			0		0	0
			0		0	0
Total			31,147		0	31,147

Justification

Personnel Cost for Region 10.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA/Med	2,382	100	0	2,382
Health Insurance	4,704	100	0	4,704
Dental Insurance	362	100	0	362
Life Insurance	400	100	0	400
Mutual of America (retirement)	2,181	100	0	2,181
			0	0
			0	0
			0	0
			0	0
Total	10,029		0	10,029

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents a 32.20% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Intake Coordinator Supervisor/EI	500	100	0	500
Intake Coordinator	500	100	0	500
Intake Coordinator	500	100	0	500
Intake Coordinator	500	100	0	500
			0	0
			0	0
			0	0
			0	0
			0	0
Total	2,000		0	2,000

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore four staff will travel to 1 parish in Region 10.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$1400 x 2)	2,800	100	0	2,800
Utilities	0	0	0	0
Telephone/Cell phone (\$850 x 2)	1,700	100	0	1,700
Maintenance of Equipment (\$325 x 2)	650	100	0	650
IT/IT Audit (\$625 x 2)	1,250	100	0	1,250
Liability Insurance (\$200 x 2)	400	100	0	400
Workers Compensation (\$66.66 x 2)	133	100	0	133
Unemployment Insurance (\$66.70 x 2)	133	100	0	133
			0	0
<b>Total</b>	<b>7,066</b>		<b>0</b>	<b>7,066</b>

Justification

Rent, telephone, cell phones, fax, computers ,copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Office-paper, pens, file folders, etc - \$1000 x 2	2,000	100	0	2,000
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>2,000</b>		<b>0</b>	<b>2,000</b>

Justification

Purchase of folders, toners, copy paper, pens, etc. are necessary supplies used in the daily operation.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
		100	0	0
		100	0	0
		100	0	0
		0	0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>0</b>		<b>0</b>	<b>0</b>

Justification

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		100	0	0
			0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. cost	4,963	100	0	4,963
			0	0
			0	0
			0	0
Total	4,963		0	4,963

Justification

9.5% indirect and admin. cost rate.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0	0	0	0
				0	0
				0	0
Total		0		0	0

Justification



**DHH CONTRACT BUDGET**  
**SUMMARY BUDGET FOR THIS PERIOD**

**CONTRACTOR:** Southeastern Louisiana AHEC - Region H FROM: 5/01/2015 TO: 6/30/2015

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	31,147	0	31,147
RELATED BENEFITS	(41)	10,029	0	10,029
TRAVEL	(12)	2,000	0	2,000
OPERATING SERVICES	(13)	7,066	0	7,066
SUPPLIES	(14)	2,000	0	2,000
PROFESSIONAL SVCS	(15)	0	0	0
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	4,963	0	4,963
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		57,205	0	57,205

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

**Fund Distribution Section**

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					



DHH Contract Budget Detail

Attachment

111

FY 15/16

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	0	0	0	0	0	0
Intake Coordinator Supervisor/EI	19.23	2,080	39,998	100	0	39,998
Intake Coordinator	18.51	2,080	38,501	100	0	38,501
Intake Coordinator	18.22	2,080	37,898	100	0	37,898
Intake Coordinator	17.6	2,080	36,608	100	0	36,608
Admin. Clerk	16.29	2,080	33,883	100	0	33,883
			0		0	0
			0		0	0
			0		0	0
Total			186,888		0	186,888

Justification

Personnel Cost for Region 10.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA/Med	14,297	100	0	14,297
Health Insurance	28,222	100	0	28,222
Dental Insurance	2,174	100	0	2,174
Life Insurance	2,400	100	0	2,400
Mutual of America (retirement)	13,082	100	0	13,082
			0	0
			0	0
			0	0
			0	0
Total	60,175		0	60,175

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents a 32.1982% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Intake Coordinator Supervisor/EI	3,000	100	0	3,000
Intake Coordinator	3,000	100	0	3,000
Intake Coordinator	3,000	100	0	3,000
Intake Coordinator	3,000	100	0	3,000
			0	0
			0	0
			0	0
Total	12,000		0	12,000

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore four staff will travel to 1 parish in Region 10.

(13) Operating Services	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Rent (\$1400 x 12)	16,800	100	0	16,800
Utilities	0	0	0	0
Telephone/Cell phone (\$850 x 12)	10,200	100	0	10,200
Maintenance of Equipment (\$325 x 12)	3,900	100	0	3,900
IT/IT Audit (\$625 x 12)	7,500	100	0	7,500
Liability Insurance (\$200 x 12)	2,400	100	0	2,400
Workers Compensation (\$66.66 x 12)	800	100	0	800
Unemployment Insurance (\$66.70 x 12)	800	100	0	800
			0	0
Total	42,400		0	42,400

Justification

Rent, telephone, cell phones, fax, computers ,copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

(14) Supplies	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Office-paper, pens, file folders, etc - \$1000 x 12	12,000	100	0	12,000
			0	0
			0	0
			0	0
			0	0
Total	12,000		0	12,000

Justification

Purchase of folders, toners, copy paper, pens, etc. are necessary supplies used in the daily operation.

(15) Professional Services	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Audit (\$200 x 12)	2,400	100	0	2,400
		100	0	0
		100	0	0
		0	0	0
			0	0
			0	0
			0	0
			0	0
Total	2,400		0	2,400

Justification

Audit services yearly.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Desktop (\$800 x 1)	800	100	0	800
			0	0
			0	0
Total	800		0	800

Justification

Replacement of computers on rotating basis. Computer life 3 to 4 years.

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. cost	30,083	100	0	30,083
			0	0
			0	0
			0	0
Total	30,083		0	30,083

Justification

9.5% indirect and admin. cost rate.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0	0	0	0
				0	0
				0	0
Total		0		0	0

Justification



DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Southeastern Louisiana AHEC - Region FROM: 7/01/2015 TO: 6/30/2016

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	186,888	0	186,888
RELATED BENEFITS	(41)	60,175	0	60,175
TRAVEL	(12)	12,000	0	12,000
OPERATING SERVICES	(13)	42,400	0	42,400
SUPPLIES	(14)	12,000	0	12,000
PROFESSIONAL SVCS	(15)	2,400	0	2,400
CAPITAL ASSETS	(16)	800	0	800
ADMINISTRATIVE	(17)	30,083	0	30,083
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		346,746	0	346,746

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment 111

FY 16/17

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	0	0	0	0	0	0
Intake Coordinator Supervisor/EI	19.23	2,080	39,998	100	0	39,998
Intake Coordinator	18.51	2,080	38,501	100	0	38,501
Intake Coordinator	18.22	2,080	37,898	100	0	37,898
Intake Coordinator	17.6	2,080	36,608	100	0	36,608
Admin. Clerk	16.29	2,080	33,883	100	0	33,883
			0		0	0
			0		0	0
			0		0	0
Total			186,888		0	186,888

Justification

Personnel Cost for Region 10.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA/Med	14,297	100	0	14,297
Health Insurance	31,045	100	0	31,045
Dental Insurance	2,391	100	0	2,391
Life Insurance	2,400	100	0	2,400
Mutual of America (retirement)	13,082	100	0	13,082
			0	0
			0	0
			0	0
			0	0
Total	63,215		0	63,215

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents a 33.825% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Intake Coordinator Supervisor/EI	3,000	100	0	3,000
Intake Coordinator	3,000	100	0	3,000
Intake Coordinator	3,000	100	0	3,000
Intake Coordinator	3,000	100	0	3,000
			0	0
			0	0
			0	0
Total	12,000		0	12,000

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore four staff will travel to 1 parish in Region 10.



<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$1400 x 12)	16,800	100	0	16,800
Utilities	0	0	0	0
Telephone/Cell phone (\$850 x 12)	10,200	100	0	10,200
Maintenance of Equipment (\$325 x 12)	3,900	100	0	3,900
IT/IT Audit (\$625 x 12)	7,500	100	0	7,500
Liability Insurance (\$200 x 12)	2,400	100	0	2,400
Workers Compensation (\$66.66 x 12)	800	100	0	800
Unemployment Insurance (\$66.70 x 12)	800	100	0	800
Continuing Education Course (\$700 x 2)	1,400	100	0	1,400
<b>Total</b>	<b>43,800</b>		<b>0</b>	<b>43,800</b>

Justification

Rent, telephone, cell phones, fax, computers ,copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Office-paper, pens, file folders, etc - \$1000 x 12	12,000	100	0	12,000
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>12,000</b>		<b>0</b>	<b>12,000</b>

Justification

Purchase of folders, toners, copy paper, pens, etc. are necessary supplies used in the daily operation.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Audit (\$200 x 12)	2,400	100	0	2,400
		100	0	0
		100	0	0
		0	0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>2,400</b>		<b>0</b>	<b>2,400</b>

Justification

Audit services yearly.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Desktop (\$800 x 1)	800	100	0	800
			0	0
			0	0
Total	800		0	800

Justification

Replacement of computers on rotating basis. Computer life 3 to 4 years.

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. cost	30,505	100	0	30,505
			0	0
			0	0
			0	0
Total	30,505		0	30,505

Justification

9.5% indirect and admin. cost rate.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0	0	0	0
				0	0
				0	0
Total		0		0	0

Justification



CONTRACTOR: Southeastern Louisiana AHEC - Region 14

FROM: 7/01/2016

TO: 6/30/2017

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	186,888	0	186,888
RELATED BENEFITS	(41)	63,215	0	63,215
TRAVEL	(12)	12,000	0	12,000
OPERATING SERVICES	(13)	43,800	0	43,800
SUPPLIES	(14)	12,000	0	12,000
PROFESSIONAL SVCS	(15)	2,400	0	2,400
CAPITAL ASSETS	(16)	800	0	800
ADMINISTRATIVE	(17)	30,505	0	30,505
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		351,608	0	351,608

Note: No data entry allowed in this item

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment III

FY 17/18

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	0	0	0	0	0	0
Intake Coordinator Supervisor/EI	19.22	1,734	33,327	100	0	33,327
Intake Coordinator	18.5	1,734	32,079	100	0	32,079
Intake Coordinator	18.21	1,734	31,576	100	0	31,576
Intake Coordinator	17.59	1,734	30,501	100	0	30,501
Admin. Clerk	16.28	1,734	28,230	100	0	28,230
			0		0	0
			0		0	0
			0		0	0
Total			155,713		0	155,713

Justification

Personnel Cost for Region 10.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA/Med	11,910	100	0	11,910
Health Insurance	25,871	100	0	25,871
Dental Insurance	1,993	100	0	1,993
Life Insurance	2,000	100	0	2,000
Mutual of America (retirement)	10,900	100	0	10,900
			0	0
			0	0
			0	0
			0	0
Total	52,674		0	52,674

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents a 33.8273% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Intake Coordinator Supervisor/EI	2,500	100	0	2,500
Intake Coordinator	2,500	100	0	2,500
Intake Coordinator	2,500	100	0	2,500
Intake Coordinator	2,500	100	0	2,500
			0	0
			0	0
			0	0
Total	10,000		0	10,000

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore four staff will travel to 1 parish in Region 10.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$1400 x 10)	14,000	100	0	14,000
Utilities	0	0	0	0
Telephone/Cell phone (\$850 x 10)	8,500	100	0	8,500
Maintenance of Equipment (\$325 x 10)	3,250	100	0	3,250
IT/IT Audit (\$625 x 10)	6,250	100	0	6,250
Liability Insurance (\$200 x 10)	2,000	100	0	2,000
Workers Compensation (\$66.66 x 10)	667	100	0	667
Unemployment Insurance (\$66.70 x 10)	667	100	0	667
		100	0	0
<b>Total</b>	<b>35,334</b>		<b>0</b>	<b>35,334</b>

Justification

Rent, telephone, cell phones, fax, computers ,copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Office-paper, pens, file folders, etc - \$1000 x 10	10,000	100	0	10,000
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>10,000</b>		<b>0</b>	<b>10,000</b>

Justification

Purchase of folders, toners, copy paper, pens, etc. are necessary supplies used in the daily operation.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Audit (\$240 x 10)	2,400	100	0	2,400
		100	0	0
		100	0	0
		0	0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>2,400</b>		<b>0</b>	<b>2,400</b>

Justification

Audit services yearly.



(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Desktop (\$800 x 1)	800	100	0	800
			0	0
			0	0
Total	800		0	800

Justification

Replacement of computers on rotating basis. Computer life 3 to 4 years.

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. cost	25,357	100	0	25,357
			0	0
			0	0
			0	0
			0	0
			0	0
Total	25,357		0	25,357

Justification

9.5% indirect and admin. cost rate.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0	0	0	0
				0	0
				0	0
Total		0		0	0

Justification

### Object Detail

<b>0</b>	<b>(Enter Cat 2 name)</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
				<b>0</b>	<b>0</b>
				<b>0</b>	<b>0</b>
<b>Total</b>		<b>0</b>		<b>0</b>	<b>0</b>

### Justification

DHH CONTRACT BUDGET

SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Southeastern Louisiana AHEC - Region 14

FROM: 7/01/2017

TO: 4/30/2018

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	155,713	0	155,713
RELATED BENEFITS	(41)	52,674	0	52,674
TRAVEL	(12)	10,000	0	10,000
OPERATING SERVICES	(13)	35,334	0	35,334
SUPPLIES	(14)	10,000	0	10,000
PROFESSIONAL SVCS	(15)	2,400	0	2,400
CAPITAL ASSETS	(16)	800	0	800
ADMINISTRATIVE	(17)	25,357	0	25,357
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		292,278	0	292,278

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

Part C - System Point of Entry  
Sample Monthly Invoice

Agency Name:  
CFMS #:  
Contact Person:  
Address:

Phone:  
Email:

Month: \_\_\_\_\_

Vendor#: \_\_\_\_\_

Invoice #: \_\_\_\_\_

SPOE Region: \_\_\_\_\_ PROGRAM: EARLYSTEPS

Date: \_\_\_\_\_

Categories		Approved Amount	Previously Billed	Current Expenses	Balance Remaining
Personnel			\$ -	\$ -	\$
Related Benefits			-	-	
Travel			-	-	
Operating Supplies			-	-	
Supplies			-	-	
Professional Services					
Capital Assets			-	-	
Administrative			-	-	
Total			\$ -	\$ -	\$

CONTRACTOR'S CERTIFICATE

"This is to certify that the information contained on this form is true, accurate and complete and that expenditures shown above were made for the furtherance of and in conformity with the contractual agreement with DHH/OCDD."

\_\_\_\_\_  
Signature of Contractor

\_\_\_\_\_  
Date

\_\_\_\_\_  
OCDD Approval Signature

\_\_\_\_\_  
Date

225-342-0095  
Contact Phone #

## Sample SPOE Monthly Report

[illegible][illegible]

## **Attachment VI**

1. **Order of Precedence:** The contract shall, to the extent possible, be construed to give effect to all provision contained therein, however, where provisions conflict, the intent of the parties shall be determined by giving a first priority to provisions of the contract excluding the RFP and the proposal; second priority to the provision of the RFP; and third priority to the provisions of the proposal.
2. **Entire Agreement:** This contract, together with the RFP and addenda issued thereto by the Department, the proposal submitted by the contractor in response to the Department's RFP, and any exhibits specifically incorporated herein reference constitute the entire agreement between the parties with respect to the subject matter.



## BOARD RESOLUTION

STATE OF LOUISIANA  
PARISH OF TANGIPAHOA

On the 18th day of June, 2014, at a meeting of the Board of Directors of Southeastern Louisiana Area Health Education Center a corporation, held in the city of Hammond, Tangipahoa Parish, Louisiana with a quorum of the directors present, the following business was conducted:

It was duly moved and seconded that the above corporation do hereby authorize Virginia Pelegrin, President or Brian P. Jakes, Sr., Chief Executive Officer to negotiate at any time within 36 months from this date and on terms and conditions that she/he may deem advisable, a contract or contracts with the Louisiana Department of Health and Hospitals, to execute said documents on behalf of the corporation and further we do hereby give her/him the power and authority to do all things necessary to implement, maintain, amend or renew said documents.

The above resolution was passed by a majority of those present and voting in accordance with the bylaws and articles of incorporation.

I certify that the above and foregoing constitutes a true and correct copy of a part of the minutes of a meeting of the Board of Directors of Southeastern Louisiana Area Health Education Center.

Held on the 16th day of June, 2014.

Subscribed and sworn before me, a Notary Public

For the Parish of St. Tammany State of Louisiana

On the 21st day of January, 2015.

Brian P. Jakes  
Notary Public #1360012

[Signature]  
Secretary



# State of Louisiana

## DEPARTMENT OF HEALTH AND HOSPITALS Office for Citizens with Developmental Disabilities

March 25, 2015

Ms. Pamela Bartfay-Rice, Esq.  
Director  
Divisions of Administration  
Office of Contractual Review  
P.O. Box 94095  
Baton Rouge, LA 70804-9095

Dear Ms. Rice:

Please consider this justification for the Department of Health and Hospitals, Office for Citizens with Developmental Disabilities to enter in to a multi-year contract with the ten System Point of Entry Contractors selected through the RFP process:

- Region 1 – Easter Seals Louisiana (CFMS – 735114)
- Region 2 – Southeast Area Health Education Center (CFMS – 735115)
- Region 3 – Southeast Area Health Education Center (CFMS – 735268)
- Region 4 – First Steps Referral and Consulting, LLC (CFMS – 735229)
- Region 5 – First Steps Referral and Consulting, LLC (CFMS – 735210)
- Region 6 – Easter Seals Louisiana (CFMS – 735219)
- Region 7 – Families Helping Families at the Crossroads (CFMS – 735293)
- Region 8 – Easter Seals Louisiana (CFMS – 735294)
- Region 9 – Southeast Area Health Education Center (CFMS – 735292)
- Region 10 – Southeast Area Health Education Center (CFMS – 735213)

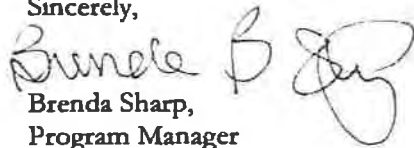
These contractors provide services for the EarlySteps system which are required by the Federal IDEA, Part C program with the US Department of Education. A multi-year contract supports the continuity of the required services: intake, initial eligibility determination, intake service coordination, as well as hosting the regional data systems for the State system for 10,000 annual referrals, and service authorizations for approximately 9300 children each year.

Funds for the first fiscal year of the contract are available and payment and performance for subsequent fiscal years shall be subject to the availability of funds.

The estimated requirements covering the period of the contract are reasonably firm and continuing and such a contract will serve the best interests of the State by encouraging effective competition or otherwise promoting economies in state procurement through the continuity of services provided over multiple years.

If further information is needed, please call (342-0095).

Sincerely,

  
Brenda Sharp,  
Program Manager

CONTRACTOR NAME	Southeastern Louisiana Area Health Education Center	Amount	\$ 1,047,837.00
CONTRACT DATES	Effective Date 05-01-2015Termination Date 04-30-2018	BA-22 ATTACHED	<input checked="" type="checkbox"/>

Certification Requirements: (Check Applicable Items)

- ☒ 1.
- Either no employee of this agency is both competent and available to perform the services called for by the proposed contract and/or the services called for are not the type readily susceptible of being performed by persons who are employed by the State on a continuing basis.
- ☒ 2.
- The services are not available as a product of a prior or existing professional, personal contract.
- ☒ 3.
- When applicable, the requirements for consultant contracts, as provided for under R.S. 39:1503-1507, have been complied with (proper documentation should be provided).
- ☒ 4.
- The using agency has developed and fully intends to implement a written plan providing for the assignment of specific using personnel to a monitoring and liaison function. Identify name of individual of staff unit responsible for monitoring this contract:

Name	Brenda Sharp, Program Manager	Phone No.	(225)342-0095
Location	628 N. 4th Street P.O. Box 3117 Bin 21 Baton Rouge, LA 70821-3117		

**Summary of Monitoring Plan:** (This must include periodic review of specified reports, documents, exception reporting, or other indicia or performance, etc.). Additional pages may be attached if necessary.

Monitoring will be achieved by receipt of all deliverables as listed on Attachment II including the review of monthly reports submitted and reports obtained through the central data system which will be monitored by the EarlySteps Program Manager.

The ultimate use of the final product of the services: (Specify)

Identify EarlySteps eligible infants and toddlers served under the Part C system thus meeting the federal benchmark of a least 2% served statewide.

- ☒ 5.
- Respond to questions A or B on all contracts except those funded by "Other Charges" (3600 series) of Budget:  
A. What critical services will go unprovided and to whom?  
Early intervention services would not be available to children in need.  
  
B. How many hours will the contractor have to work? N/A
- ☒ 6.
- Completed monitoring report will be submitted to the Office of Contractual Review within 60 days after termination of contract. (For Personal, Professional, Consulting contracts exceeding \$20,000)
- ☒ 7.
- The services have not been artificially divided to as to constitute a small purchase (not exceeding \$20,000).
- ☒ 8.
- A cost-benefit analysis has been conducted which indicates that obtaining such services from the private sector is more cost-effective than providing such services the agency itself or by any agreement with another state agency and includes both a short-term and long-term analysis and is available for review.
- ☒ 9.
- The cost basis for the proposed contract is justified and reasonable.
- ☒ 10.
- A description of the specific goals and objectives, deliverables, performance measures and a plan for monitoring the services to be provided are contained in the proposed contract.

PRIOR CONTRACT INFORMATION MUST BE FILLED OUT (IF NO PRIOR CONTRACT PUT N/A)

PRIOR YEAR SERVICES PROVIDED BY (Contractor Name): Southeastern Louisiana Area Health Education Center			
CFMS#: 730565	DHH#: 060293	EFF: 07-01-2014	TERM: 04-30-2015
AMOUNT: \$ 339,101.00	PREVIOUSLY ISSUED UNDER RFP? IF YES, DATE: <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO      DATE: 06-02-2011		

YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Contains a date upon which the contract is to begin and upon which the contract will terminate.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Contains a description of the work to be performed and objectives to be met.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Contains an amount and time payment to be made.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Contains a description of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Contains a date of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. When a contract includes travel and/or other reimbursable expenses, it contains language to effect the following:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	A. Travel and other reimbursable expenses shall constitute part of the total maximum payable under the contract; (or)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	B. No more than (a certain sum) of the total maximum amount payable under this contract shall be paid or received as reimbursement for travel and other reimbursable expenses; (and)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	C. Travel expenses shall be reimbursed in accordance with Division of Administration Policy and Procedure memorandum 49 (The State General Travel Regulations).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. Contains the responsibility for payment of taxes.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	8. Contains the circumstances under which the contract can be terminated either with or without cause and contains the remedies for default.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	9. Contains a statement giving the Legislative Auditor the authority to audit records of the individual(s) or firm(s).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10. Contains an assignability clause as provided for under LAC-4:4.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	11. Budget Form BA-22, fully completed and attached to back of each contract.

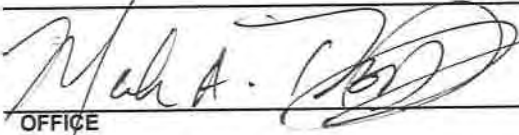
DETERMINATION OF RESPONSIBILITY

YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Had adequate financial resources for performance, or has the ability to obtain such resources as required during performance.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Has the necessary experience, organization, technical qualifications, skills and facilities or has the ability to obtain them (including probable subcontractor arrangements).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Is able to comply with the proposed or required time of delivery or performance schedule.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Has a satisfactory record of integrity, judgment and performance (contractors which are seriously delinquent in current contract performance, considering the number of contracts and the extent of delinquencies of each, shall in the absences of evidence to the contrary or compelling circumstances presumed to be unable to fulfill this agreement).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Is otherwise qualified and eligible to receive an award under applicable laws and regulations.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. If a contract for consulting services is for \$50,000 or more: The head of the using agency has prepared, signed and placed in the contract file a statement of the facts on which a determination of responsibility of offer or potential subcontractors have been filed with the statement.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. On subcontracting, it has been established that contractors recent performance history indicates acceptable subcontracting systems; or, major subcontractors have been determined by the heads of the using agency to satisfy this standard

R.F.P. CONSULTING CONTRACTS FOR \$50,000 OR MORE; UNLESS DETERMINED EXEMPT AS PER ACT 673 of 1985, R.S. 39:1494.1 (A).

☐ Contract file attached and this includes:  
☐Criteria for selection ☐Proposals ☐Pertinent Documents ☐Selection Memorandum

PROGRAM / FACILITY SIGNATURE	
OFFICE	PHONE NUMBER
OCDD/EarlySteps	(225)342-5715

ASSISTANT SECRETARY OR DESIGNEE SIGNATURE

OFFICE
Office for Citizens with Developmental Disabilities

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION  
BA-22 (REV. 09/2005)

Date: 4/2/2015 Dept/Budget Unit: 09/340/2000  
Agency Name: Office for Citizens with Developmental Disabi OCR/CFMS Contract #: 735213  
Agency BA-22 #: 37 Agency Contract #: 060723

Fiscal Year for this BA-22: 2014-2015 BA-22 Start/End Dates: 05/01/15 06/30/15  
(yyyy-yy) (Start Date) (End Date)

Multi-year Contract (Yes/No): Yes If "Yes", provide contract dates:  
05/01/15 04/30/18  
(Start Date) (End Date)

Southeastern Louisiana Area Health Education Center 72115501400  
(Contractor/Vendor Name) (Contractor/Vendor No.)

Contractor will provide System Point of Entry services with the Region 10 Parishes for Early Steps.  
(Provide a statement of "Services Provided")

Contract Amendment (Yes/No): NO Amendment Start/End Dates: \_\_\_\_\_  
(Start Date) (End Date)

Contract Cancellation (Yes/No): NO Date of Cancellation: \_\_\_\_\_

(Provide rationale for amendment or cancellation)

This information is to be provided at the Agency Level				
MEANS OF FINANCING		AMOUNT		
	Current Year	%	Total Contract	%
State General Fund	\$0	0%	\$0	0.0%
Interagency Transfers	\$0	0%	\$0	0.0%
Fees and Self Gen.	\$0	0.0%	\$0	0.0%
Statutory Dedication	\$0	0.0%	\$0	0.0%
Federal	\$57,205	100%	\$1,047,837	100.0%
TOTALS	\$57,205	100%	\$1,047,837	100.0%

\*Specify Source (i.e., grant name, fund name, IAT sending agency and revenue source, fee type and source, etc.)  
Are revenue collections for funds utilized above in line with budgeted amounts? (Yes/No) \_\_\_\_\_  
If not, explain. \_\_\_\_\_

This information is to be provided at the Agency Level	
Name of Object Code/Category:	Miscellaneous Charges
Object Code/Category Number:	3655
Amount Budgeted:	\$15,496,069
Amount Previously Obligated:	\$6,794,549
Amount this BA-22:	\$57,205
Balance:	\$8,644,315

The approval of the aforementioned contract will not cause this agency to be placed in an Object Category deficit.

Agency Contact: Clent Goff Reviewed/Approved By: Geetha Kumar  
Name: Clent Goff Name: Geetha Kumar  
Title: Program Manager 1 Title: Program Manager  
Phone: (225) 342-0943 Phone: (225) 342-8725

FOR AGENCY USE ONLY

AGENCY	PROGRAM	ACTIVITY	ORGANIZ.	OBJECT	REPT CAT	AMOUNT
340	2000		8012	3655	8107	\$57,205.00

AMENDMENT TO  
AGREEMENT BETWEEN STATE OF LOUISIANA  
LOUISIANA DEPARTMENT OF HEALTH

Amendment #: 1  
LAGOV#: 2000122733  
LDH #: 060728

(Regional/ Program/  
Facility

Office for Citizens with Developmental Disabilities

EarlySteps, Louisiana's Early Intervention System

Original Contract Amt \$ 1,731,785.00

AND

Original Contract Begin Date 05-01-2015

Southeastern Louisiana Area Health Education Center

Original Contract End Date 04-30-2018

Contractor Name

RFP Number: 305PUR-DHHRFP-SPQ5

AMENDMENT PROVISIONS

Change Contract From: From Maximum Amount: \$ 1,731,785.00 Current Contract Term : 05/01/2015 - 04/30/2018

CF-1 Block 13 Maximum Contract Amount \$1,731,785 FY15 \$94,864 FY16 \$573,594, FY17 \$579,580, FY18 \$483,747

CF-1 Block 14 Terms of Payment: See Attachment III: Budget

Change Contract To: To Maximum Amount: \$ 2,892,024.00 Changed Contract Term: 5-01-2015 - 4/30/2020

CF-1 Block 13 Maximum Contract Amount \$2,892,024 FY15 \$94,864; FY16 \$573,594; FY17 \$579,580; FY18 \$483,747 (10 month); FY18 \$96,349 (2 month); FY 19 \$580,143; FY 20 483,747

CF-1 Block 14 Terms of Payment: See Attachment III: Budget

Justifications for amendment:

The current contract, which was executed via RFP# 305PUR-DHHRFP-SPOE-2014-OCDD on May 1, 2015, expires on April 30, 2018. The RFP included an option to extend the resulting contract from 3 to 5 years. Since 2008, the RFP has been issued 3 times with no other qualified applicants competing. LDH/OCDD is satisfied with the performance of Southeastern Louisiana Area Health Education Center in meeting all deliverables and would like to exercise the option to extend the contract the allowable 24 months, in the Region 2 parishes for EarlySteps, the Louisiana's Early Intervention program.

This Amendment Becomes Effective: 05-01-2018

This amendment contains or has attached hereto all revised terms and conditions agreed upon by contracting parties.

IN WITNESS THEREOF, this amendment is signed and entered into on the date indicated below.

CONTRACTOR

Southeastern Louisiana Area Health Education Center

STATE OF LOUISIANA  
LOUISIANA DEPARTMENT OF HEALTH

Secretary, Louisiana Department of Health or Designee

CONTRACTOR SIGNATURE DATE

PRINT NAME Brian P. Jakes, Sr.

CONTRACTOR TITLE Chief Executive Officer

SIGNATURE DATE

NAME Mark A. Thomas

TITLE Assistant Secretary

OFFICE Office for Citizens with Developmental Disabilities

PROGRAM SIGNATURE DATE

NAME



LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	31.77	115	3,654	100	0	3,654
Data Manager	19.24	346	6,657	100	0	6,657
Supervisor/EI	19.24	346	6,657	100	0	6,657
Intake Service Coordinator	18.75	346	6,488	100	0	6,488
Intake Service Coordinator	17.79	346	6,155	100	0	6,155
Intake Service Coordinator	17.55	346	6,072	100	0	6,072
Intake Service Coordinator	17.07	346	5,906	100	0	5,906
Intake Service Coordinator	17.07	346	5,906	100	0	5,906
Admn. Clerk	10.1	346	3,495	100	0	3,495
Total			50,990		0	50,990

Justification

Personnel Cost for Region 2. Program Director works approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA/Med	3,908	100	0	3,908
Health Insurance	9,313	100	0	9,313
Dental Insurance	717	100	0	717
Life Insurance	720	100	0	720
Mutual of America (retirement)	3,539	100	0	3,539
			0	0
			0	0
Total	18,197		0	18,197

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 35.688% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Supervisor/EI	381	100	0	381
EI Consultant	381	100	0	381
Intake Coordinator	381	100	0	381
Intake Coordinator	381	100	0	381
Intake Coordinator	381	100	0	381
Intake Coordinator	381	100	0	381
Intake Coordinator	381	100	0	381
Total	2,667		0	2,667

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 7 parishes in Region 2.

(13) Operating Services	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Rent (\$2458 X 2)	4,916	100	0	4,916
Telephone/Cell phone (\$1167 X 2)	2,334	100	0	2,334
Maintenance of Equipment (\$333 X 2)	666	100	0	666
IT/IT Audit (\$600 X 2)	1,200	100	0	1,200
Liability Insurance (\$200 X 2)	400	100	0	400
Workers Compensation (\$110 X 2)	220	100	0	220
Unemployment Insurance (\$110 X 2)	220	100	0	220
			0	0
Total	9,956		0	9,956

Justification

(14) Supplies	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Paper, Pens, file folder, etc. (\$1600 X 2)	3,200	100	0	3,200
			0	0
Total	3,200		0	3,200

Justification

(15) Professional Services	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Audit (\$240 X 2)	480	100	0	480
EI Consultant (\$1250 X 2)	2,500	100	0	2,500
			0	0
Total	2,980		0	2,980

Justification

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
		100	0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Admin. Cost	8,359	100	0	8,359
Total	8,359		0	8,359

Justification

9.5% indirect and admin. cost

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Total					

Justification



LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Southeastern Louisiana AHEC - Region 2 FROM: 5/1/2018 TO: 6/30/2018

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	50,990	0	50,990
RELATED BENEFITS	(41)	18,197	0	18,197
TRAVEL	(12)	2,667	0	2,667
OPERATING SERVICES	(13)	9,956	0	9,956
SUPPLIES	(14)	3,200	0	3,200
PROFESSIONAL SVCS	(15)	2,980	0	2,980
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	8,359	0	8,359
(Enter Cat 1 name)	(0)			
(Enter Cat 2 name)	(0)			
TOTAL COST		96,349	0	96,349

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	31.77	693	22,017	100	0	22,017
Data Manager	19.24	2,080	40,019	100	0	40,019
Supervisor/EI	19.24	2,080	40,019	100	0	40,019
Intake Service Coordinator	18.75	2,080	39,000	100	0	39,000
Intake Service Coordinator	17.79	2,080	37,003	100	0	37,003
Intake Service Coordinator	17.55	2,080	36,504	100	0	36,504
Intake Service Coordinator	17.07	2,080	35,506	100	0	35,506
Intake Service Coordinator	17.07	2,080	35,506	100	0	35,506
Admn. Clerk	10.1	2,080	21,008	100	0	21,008
Total			306,582		0	306,582

Justification

Personnel Cost for Region 2. Program Director works approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA/Med	23,448	100	0	23,448
Health Insurance	55,880	100	0	55,880
Dental Insurance	4,304	100	0	4,304
Life Insurance	4,320	100	0	4,320
Mutual of America (retirement)	21,461	100	0	21,461
			0	0
Total	109,413		0	109,413

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 35.688% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Supervisor/EI	2,285	100	0	2,285
EI Consultant	2,285	100	0	2,285
Intake Coordinator	2,286	100	0	2,286
Intake Coordinator	2,286	100	0	2,286
Intake Coordinator	2,286	100	0	2,286
Intake Coordinator	2,286	100	0	2,286
Intake Coordinator	2,286	100	0	2,286
Total	16,000		0	16,000

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 7 parishes in Region 2.



<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$2458 X 12)	29,496	100	0	29,496
Telephone/Cell phone (\$1167 X 12)	14,004	100	0	14,004
Maintenance of Equipment (\$333 X 12)	3,996	100	0	3,996
IT/IT Audit (\$600 X 12)	7,200	100	0	7,200
Liability Insurance (\$200 X 12)	2,400	100	0	2,400
Workers Compensation (\$110 X 12)	1,320	100	0	1,320
Unemployment Insurance (\$110 X 12)	1,320	100	0	1,320
<b>Total</b>	<b>59,736</b>		<b>0</b>	<b>59,736</b>

Justification

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Paper, Pens, file folder, etc. (\$1600 X 12)	19,200	100	0	19,200
<b>Total</b>	<b>19,200</b>		<b>0</b>	<b>19,200</b>

Justification

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Audit (\$240 X 12)	2,880	100	0	2,880
EI Consultant (\$1250 X 12)	15,000	100	0	15,000
<b>Total</b>	<b>17,880</b>		<b>0</b>	<b>17,880</b>

Justification





LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Southeastern Louisiana AHEC - Region 2 FROM: 7/1/2018 TO: 6/30/2019

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	306,582	0	306,582
RELATED BENEFITS	(41)	109,413	0	109,413
TRAVEL	(12)	16,000	0	16,000
OPERATING SERVICES	(13)	59,736	0	59,736
SUPPLIES	(14)	19,200	0	19,200
PROFESSIONAL SVCS	(15)	17,880	0	17,880
CAPITAL ASSETS	(16)	1,000	0	1,000
ADMINISTRATIVE	(17)	50,332	0	50,332
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		580,143	0	580,143

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	31.77	578	18,363	100	0	18,363
Data Manager	19.24	1,734	33,362	100	0	33,362
Supervisor/EI	19.24	1,734	33,362	100	0	33,362
Intake Service Coordinator	18.75	1,734	32,513	100	0	32,513
Intake Service Coordinator	17.79	1,734	30,848	100	0	30,848
Intake Service Coordinator	17.55	1,734	30,432	100	0	30,432
Intake Service Coordinator	17.07	1,734	29,599	100	0	29,599
Intake Service Coordinator	17.07	1,734	29,599	100	0	29,599
Admin Clerk	10.1	1,734	17,513	100	0	17,513
Total			255,591		0	255,591

Justification

Personnel Cost for Region 2. Program Director works approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA/Med	19,540	100	0	19,540
Health Insurance	46,567	100	0	46,567
Dental Insurance	3,587	100	0	3,587
Life Insurance	3,600	100	0	3,600
Mutual of America (retirement)	17,883	100	0	17,883
			0	0
Total	91,177		0	91,177

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 35.673% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Supervisor/EI	1,905	100	0	1,905
EI Consultant	1,905	100	0	1,905
Intake Coordinator	1,904	100	0	1,904
Intake Coordinator	1,904	100	0	1,904
Intake Coordinator	1,904	100	0	1,904
Intake Coordinator	1,904	100	0	1,904
Intake Coordinator	1,904	100	0	1,904
Total	13,330		0	13,330

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 7 parishes in Region 2.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$2458 x 10)	24,580	100	0	24,580
Telephone/Cell phone (\$1167 x 10)	11,670	100	0	11,670
Maintenance of Equipment (\$333 x 10)	3,330	100	0	3,330
IT/IT Audit (\$600 x 10)	6,000	100	0	6,000
Liability Insurance (\$200 x 10)	2,000	100	0	2,000
Workers Compensation (\$110 x 10)	1,100	100	0	1,100
Unemployment Insurance (\$110 x 10)	1,100	100	0	1,100
			0	0
<b>Total</b>	<b>49,780</b>		<b>0</b>	<b>49,780</b>

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Paper, pens, file folders, etc (\$1600 x 10)	16,000	100	0	16,000
<b>Total</b>	<b>16,000</b>		<b>0</b>	<b>16,000</b>

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Audit (\$240 x 10)	2,400	100	0	2,400
EI Consultant (\$1250 x 10)	12,500	100	0	12,500
<b>Total</b>	<b>14,900</b>		<b>0</b>	<b>14,900</b>

Justification

Audit services yearly. EI consultant contracted to meet contract requirements.





### Object Detail

0	(Enter Cat 2 name)	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
<b>Total</b>					

### Justification

LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Southeastern Louisiana Area Health Educ FROM: 7/1/19 TO: 4/30/20

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	255,591	0	255,591
RELATED BENEFITS	(41)	91,177	0	91,177
TRAVEL	(12)	13,330	0	13,330
OPERATING SERVICES	(13)	49,780	0	49,780
SUPPLIES	(14)	16,000	0	16,000
PROFESSIONAL SVCS	(15)	14,900	0	14,900
CAPITAL ASSETS	(16)	1,000	0	1,000
ADMINISTRATIVE	(17)	41,969	0	41,969
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		483,747	0	483,747

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

CONTRACT BETWEEN STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS

Office for Citizens with Developmental Disabilities  
EarlySteps, Louisiana's Early Intervention System

AND

Southeastern Louisiana Area Health Education Center

FOR

☐ Personal Services ☐ Professional Services ☐ Consulting Services ☒ Social Services

2006122733

CFMS: 735115

DHH: 060728

Agency # 340

1) Contractor (Legal Name if Corporation) Southeastern Louisiana Area Health Education Center			5) Federal Employer Tax ID# or Social Security # 72115501400 (Must be 11 Digits)	
2) Street Address 1302 J.W. Davis Drive			6) Parish(es) Served 03, 17, 19, 24, 39, 61, 63	
City Hammond	State LA	Zip Code 70403	7) License or Certification # NA	
3) Telephone Number (985) 345-1119			8) Contractor Status  Subrecipient: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Corporation: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No For Profit: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Publicly Traded: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
4) Mailing Address (if different)				
City	State	Zip Code	8a) CFDA#(Federal Grant #) 84.181A	

9) Brief Description Of Services To Be Provided:  
Contractor will provide System Point of Entry (SPOE) services with the Region 2 parishes for EarlySteps, Louisiana's Early Intervention System and its eligible infants & toddler from birth to three as regulated under Part C of the Individuals with Disabilities Education Improvement Act (IDEA). Contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and supporting the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family . The contractor will maintain electronic and hard copy paper files of the early intervention records. Contractor shall perform work in accordance with Attachment II: Statement of Work.

10) Effective Date 05-01-2015	11) Termination Date 04-30-2018
12) This contract may be terminated by either party upon giving thirty (30) days advance written notice to the other party with or without cause but in no case shall continue beyond the specified termination date.	
13) Maximum Contract Amount \$ 1,731,785.00 14/15-94,864 15/16-573,594 16/17-579,580 17/18 - 483,747	

14) Terms of Payment  
If progress and/or completion of services are provided to the satisfaction of the initiating Office/Facility, payments are to be made as follows:  
Fiscal will pay invoices within (20) days after receipt.

Travel will be reimbursed in accordance with PPM 49.

Authorization for payment will be made upon submission of deliverables summarized within monthly report and itemized invoices after approval from the Program Manager. Contractor will be paid on a cost reimbursement basis in accordance with attached budget.

Contractor obligated to submit final invoices to Agency within fifteen (15) days after termination of contract.

PAYMENT WILL BE MADE ONLY UPON APPROVAL OF:	First Name Brenda	Last Name Sharp
	Title Program Manager	Phone Number (225) 342-0095

15) Special or Additional Provisions which are incorporated herein, if any (IF NECESSARY, ATTACH SEPARATE SHEET AND REFERENCE):

Attachment I: HIPAA Addendum  
Attachment II: Statement of Work  
Attachment III Budget  
Attachment IV: Monthly Invoice  
Attachment V: SPOE Monthly Report  
Attachment VI: Order of Precedence

Exhibit I: Board Resolution  
Exhibit II: Multi Year Letter

**During the performance of this contract, the Contractor hereby agrees to the following terms and conditions:**

1. Contractor hereby agrees to adhere as applicable to the mandates dictated by Titles VI and VII of the Civil Rights Act of 1964, as amended; the Vietnam Era Veterans' Readjustment Assistance Act of 1974; Americans with Disabilities Act of 1990 as amended; the Rehabilitation Act of 1973 as amended; Sec. 202 of Executive Order 11246 as amended, and all applicable requirements imposed by or pursuant to the regulations of the U. S. Department of Health and Human Services. Contractor agrees not to discriminate in the rendering of services to and/or employment of individuals because of race, color, religion, sex, age, national origin, handicap, political beliefs, disabled veteran, veteran status, or any other non-merit factor.
2. Contractor shall abide by the laws and regulations concerning confidentiality which safeguard information and the patient/client confidentiality. Information obtained shall not be used in any manner except as necessary for the proper discharge of Contractor's obligations. (The Contractor shall establish, subject to review and approval of the Department, confidentiality rules and facility access procedures.)
3. The State Legislative Auditor, Office of the Governor, Division of Administration, and Department Auditors or those designated by the Department shall have the option of auditing all accounts pertaining to this contract during the contract and for a three year period following final payment. Contractor grants to the State of Louisiana, through the Office of the Legislative Auditor, Department of Health and Hospitals, and Inspector General's Office, Federal Government and/or other such officially designated body the right to inspect and review all books and records pertaining to services rendered under this contract, and further agrees to guidelines for fiscal administration as may be promulgated by the Department. Records will be made available during normal working hours.

Contractor shall comply with federal and state laws and/or DHH Policy requiring an audit of the Contractor's operation as a whole or of specific program activities. Audit reports shall be sent within thirty (30) days after the completion of the audit, but no later than six (6) months after the end of the audit period. If an audit is performed within the contract period, for any period, four (4) copies of the audit report shall be sent to the Department of Health and Hospitals, Attention: **Division of Fiscal Management, P.O. Box 91117, Baton Rouge, LA 70821-3797** and one (1) copy of the audit shall be sent to the **originating DHH Office**.

4. Contractor agrees to retain all books, records and other documents relevant to the contract and funds expended thereunder for at least four (4) years after final payment or as prescribed in 45 CFR 74.53 (b) whichever is longer. Contractor shall make available to the Department such records within thirty (30) days of the Department's written request and shall deliver such records to the Department's central office in Baton Rouge, Louisiana, all without expense to the Department. Contractor shall allow the Department to inspect, audit or copy records at the contractor's site, without expense to the Department.
5. Contractor shall not assign any interest in this contract and shall not transfer any interest in the same (whether by assignment or novation), without written consent of the Department thereto, provided, however, that claims for money due or to become due to Contractor from the Department under this contract may be assigned to a bank, trust company or other financial institution without advanced approval. Notice of any such assignment or transfer shall be promptly furnished to the Department and the Division of Administration, Office of Contractual Review.
6. Contractor hereby agrees that the responsibility for payment of taxes from the funds received under this contract shall be Contractor's. The contractor assumes responsibility for its personnel providing services hereunder and shall make all deductions for withholding taxes, and contributions for unemployment compensation funds.
7. Contractor shall obtain and maintain during the contract term all necessary insurance including automobile insurance, workers' compensation insurance, and general liability insurance. The required insurances shall protect the Contractor, the Department of Health and Hospitals, and the State of Louisiana from all claims related to Contractor's performance of this contract. Certificates of Insurance shall be filed with the Department for approval. Said policies shall not be canceled, permitted to expire, or be changed without thirty (30) days advance written notice to the Department. Commercial General Liability Insurance shall provide protection during the performance of work covered by the contract from claims or damages for personal injury, including accidental death, as well as claims for property damages, with combined single limits prescribed by the Department.
8. In cases where travel and related expenses are required to be identified separate from the fee for services, such costs shall be in accordance with State Travel Regulations. The contract contains a maximum compensation which shall be inclusive of all charges including fees and travel expenses.
9. No funds provided herein shall be used to urge any elector to vote for or against any candidate or proposition on an election ballot nor shall such funds be used to lobby for or against any proposition or matter having the effect of law being considered by the legislature or any local governing authority. This provision shall not prevent the normal dissemination of factual information relative to a proposition or any election ballot or a proposition or matter having the effect of law being considered by the legislature or any local governing authority. Contracts with individuals shall be exempt from this provision.
10. Should contractor become an employee of the classified or unclassified service of the State of Louisiana during the effective period of the contract, Contractor must notify his/her appointing authority of any existing contract with State of Louisiana and notify the contracting office of any additional state employment. This is applicable only to contracts with individuals.

11. All non-third party software and source code, records, reports, documents and other material delivered or transmitted to Contractor by State shall remain the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract. All non-third party software and source code, records, reports, documents, or other material related to this contract and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract.

12. Contractor shall not enter into any subcontract for work or services contemplated under this contract without obtaining prior written approval of the Department. Any subcontracts approved by the Department shall be subject to conditions and provisions as the Department may deem necessary; provided, however, that notwithstanding the foregoing, unless otherwise provided in this contract, such prior written approval shall not be required for the purchase by the contractor of supplies and services which are incidental but necessary for the performance of the work required under this contract. No subcontract shall relieve the Contractor of the responsibility for the performance of contractual obligations described herein.

13. No person and no entity providing services pursuant to this contract on behalf of contractor or any subcontractor is prohibited from providing such services by the provisions of R.S. 42:1113 as amended in the 2008 Regular Session of the Louisiana Legislature.

14. No claim for services furnished or requested for reimbursement by Contractor, not provided for in this contract, shall be allowed by the Department. In the event the Department determines that certain costs which have been reimbursed to Contractor pursuant to this or previous contracts are not allowable, the Department shall have the right to set off and withhold said amounts from any amount due the Contractor under this contract for costs that are allowable.

15. This contract is subject to and conditioned upon the availability and appropriation of Federal and/or State funds; and no liability or obligation for payment will develop between the parties until the contract has been approved by required authorities of the Department; and, if contract exceeds \$20,000, the Director of the Office of Contractual Review, Division of Administration in accordance with La. R.S. 39:1502..

16. The continuation of this contract is contingent upon the appropriation of funds from the legislature to fulfill the requirements of the contract. If the Legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds are not appropriated.

17. Any alteration, variation, modification, or waiver of provisions of this contract shall be valid only when reduced to writing, as an amendment duly signed, and approved by required authorities of the Department; and, if contract exceeds \$20,000, approved by the Director of the Office of Contractual Review, Division of Administration. Budget revisions approved by both parties in cost reimbursement contracts do not require an amendment if the revision only involves the realignment of monies between originally approved cost categories.

18. Any contract disputes will be interpreted under applicable Louisiana laws and regulations in Louisiana administrative tribunals or district courts as appropriate.

19. Contractor will warrant all materials, products and/or services produced hereunder will not infringe upon or violate any patent, copyright, trade secret, or other proprietary right of any third party. In the event of any such claim by any third party against DHH, the Department shall promptly notify Contractor in writing and Contractor shall defend such claim in DHH's name, but at Contractor's expense and shall indemnify and hold harmless DHH against any loss, expense or liability arising out of such claim, whether or not such claim is successful. This provision is not applicable to contracts with physicians, psychiatrists, psychologists or other allied health providers solely for medical services.

20. Any equipment purchased under this contract remains the property of the Contractor for the period of this contract and future continuing contracts for the provision of the same services. Contractor must submit vendor invoice with reimbursement request. For the purpose of this contract, equipment is defined as any tangible, durable property having a useful life of at least (1) year and acquisition cost of \$1000.00 or more. The contractor has the responsibility to submit to the Contract Monitor an inventory list of DHH equipment items when acquired under the contract and any additions to the listing as they occur. Contractor will submit an updated, complete inventory list on a quarterly basis to the Contract Monitor. Contractor agrees that upon termination of contracted services, the equipment purchased under this contract reverts to the Department. Contractor agrees to deliver any such equipment to the Department within 30 days of termination of services.

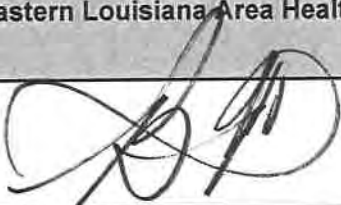
21. Contractor agrees to protect, indemnify and hold harmless the State of Louisiana, DHH, from all claims for damages, costs, expenses and attorney fees arising in contract or tort from this contract or from any acts or omissions of Contractor's agents, employees, officers or clients, including premises liability and including any claim based on any theory of strict liability. This provision does not apply to actions or omissions for which LA R.S. 40:1299.39 provides malpractice coverage to the contractor, nor claims related to treatment and performance of evaluations of persons when such persons cause harm to third parties (R.S. 13:5108.1(E)). Further it does not apply to premises liability when the services are being performed on premises owned and operated by DHH.



22. Any provision of this contract is severable if that provision is in violation of the laws of the State of Louisiana or the United States, or becomes inoperative due to changes in State and Federal law, or applicable State or Federal regulations.
23. Contractor agrees that the current contract supersedes all previous contracts, negotiations, and all other communications between the parties with respect to the subject matter of the current contract.

THIS CONTRACT CONTAINS OR HAS ATTACHED HERETO ALL THE TERMS AND CONDITIONS AGREED UPON BY THE CONTRACTING PARTIES. IN WITNESS THEREOF, THIS CONTRACT IS SIGNED ON THE DATE INDICATED BELOW.

Southeastern Louisiana Area Health Education Center



March 11, 2015

SIGNATURE

DATE

Brian P. Jakes, Sr.

NAME

Chief Executive Officer

TITLE

STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS

SIGNATURE

DATE

Kathy Kliebert

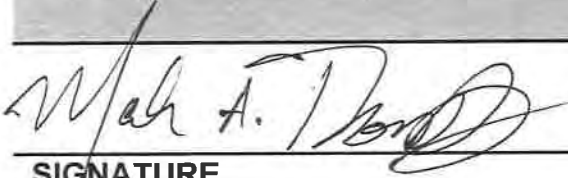
NAME

Secretary, Department of Health and Hospital or Designee

TITLE

EarlySteps, Louisiana's Early Intervention System

Office for Citizens with Developmental Disabilities



SIGNATURE

DATE

Brenda Sharp

NAME

Program Manager

TITLE

SIGNATURE

DATE

Mark A. Thomas

NAME

Assistant Secretary

TITLE



**Office of State Procurement  
PROACT Contract Certification of Approval**

**This certificate serves as confirmation that the Office of State Procurement has reviewed and approved the contract referenced below.**

**Reference Number:** 735115

**Vendor:** Southeastern Louisiana Area Health Education Center

**Description:** 735115 - Contractor will provide System Point of Entry services R2.

**Approved By:** Pamela Rice

**Approval Date:** 6/29/2015

The above referenced number has been assigned by this office and will be used as identification for the approved contract. Please use this number when referring to the contract in any future correspondence or amendment(s).

The Internal Revenue Service (IRS) may find that this contract creates an employment relationship between your agency and the contractor. You should be advised that your agency is responsible for all taxes and penalties if such a finding is forthcoming. It is incumbent upon your agency to determine if an employee/employer relationship exists. Your agency must make the appropriate withholdings in accordance with law and IRS regulations, if applicable.

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## HIPAA Business Associate Addendum

This HIPAA Business Associate Addendum is hereby made a part of this contract in its entirety as Attachment \_\_\_\_\_ to the contract.

1. The Louisiana Department of Health and Hospitals ("DHH") is a Covered Entity, as that term is defined herein, because it functions as a health plan and as a health care provider that transmits health information in electronic form.
2. Contractor is a Business Associate of DHH, as that term is defined herein, because contractor either: (a) creates, receives, maintains, or transmits PHI for or on behalf of DHH; or (b) provides legal, actuarial, accounting, consulting, data aggregation, management, administrative, accreditation, or financial services for DHH involving the disclosure of PHI.
3. Definitions: As used in this addendum –
  - A. The term "HIPAA Rules" refers to the federal regulations known as the HIPAA Privacy, Security, Enforcement, and Breach Notification Rules, found at 45 C.F.R. Parts 160 and 164, which were originally promulgated by the U. S. Department of Health and Human Services (DHHS) pursuant to the Health Insurance Portability and Accountability Act ("HIPAA") of 1996 and were subsequently amended pursuant to the Health Information Technology for Economic and Clinical Health ("HITECH") Act of the American Recovery and Reinvestment Act of 2009.
  - B. The terms "Business Associate", "Covered Entity", "disclosure", "electronic protected health information" ("electronic PHI"), "health care provider", "health information", "health plan", "protected health information" ("PHI"), "subcontractor", and "use" have the same meaning as set forth in 45 C.F.R. § 160.103.
  - C. The term "security incident" has the same meaning as set forth in 45 C.F.R. § 164.304.
  - D. The terms "breach" and "unsecured protected health information" ("unsecured PHI") have the same meaning as set forth in 45 C.F.R. § 164.402.
4. Contractor and its agents, employees and subcontractors shall comply with all applicable requirements of the HIPAA Rules and shall maintain the confidentiality of all PHI obtained by them pursuant to this contract and addendum as required by the HIPAA Rules and by this contract and addendum.
5. Contractor shall use or disclose PHI solely: (a) for meeting its obligations under the contract; or (b) as required by law, rule or regulation (including the HIPAA Rules) or as otherwise required or permitted by this contract and addendum.
6. Contractor shall implement and utilize all appropriate safeguards to prevent any use or disclosure of PHI not required or permitted by this contract and addendum, including administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the electronic protected health information that it creates, receives, maintains, or transmits on behalf of DHH.
7. In accordance with 45 C.F.R. § 164.502(e)(1)(ii) and (if applicable) § 164.308(b)(2), contractor shall ensure that any agents, employees, subcontractors or others that create, receive, maintain, or transmit PHI on behalf of contractor agree to the same restrictions, conditions and requirements that apply to contractor with respect to such information, and it shall ensure that they implement reasonable and appropriate safeguards to protect such information. Contractor shall take all reasonable steps to ensure that its agents', employees' or subcontractors' actions or omissions do not cause contractor to violate this contract and addendum.
8. Contractor shall, within three (3) days of becoming aware of any use or disclosure of PHI, other than as permitted by this contract and addendum, report such disclosure in writing to the person(s) named in section 14 (Terms of Payment), page 1 of the CF-1. Disclosures which must be reported by contractor include, but are not limited to, any security incident, any breach of unsecured PHI, and any "breach of the security system" as defined in the Louisiana Database Security Breach Notification Law, La.R.S. 51:3071 *et seq.* At the option of DHH, any harm or damage resulting from any use or disclosure which violates this contract and addendum shall be mitigated, to the extent practicable, either: (a) by contractor at its own expense; or (b) by DHH, in which case contractor shall reimburse DHH for all expenses that DHH is required to incur in undertaking such mitigation activities.
9. To the extent that contractor is to carry out one or more of DHH's obligations under 45 C.F.R. Part 164, Subpart E, contractor shall comply with the requirements of Subpart E that apply to DHH in the performance of such obligation(s).
10. Contractor shall make available such information in its possession which is required for DHH to provide an accounting of disclosures in accordance with 45 CFR § 164.528. In the event that a request for accounting is made directly to contractor, contractor shall forward such request to DHH within two (2) days of such receipt. Contractor shall implement an appropriate record keeping process to enable it to comply with the requirements of this provision. Contractor shall maintain data on all disclosures of PHI for which accounting is required by 45 CFR § 164.528 for at least six (6) years after the date of the last such disclosure.
11. Contractor shall make PHI available to DHH upon request in accordance with 45 CFR § 164.524.
12. Contractor shall make PHI available to DHH upon request for amendment and shall incorporate any amendments to PHI in accordance with 45 CFR § 164.526.
13. Contractor shall make its internal practices, books, and records relating to the use and disclosure of PHI received from or created or received by contractor on behalf of DHH available to the Secretary of the U. S. DHHS for purposes of determining DHH's compliance with the HIPAA Rules.
14. Contractor shall indemnify and hold DHH harmless from and against any and all liabilities, claims for damages, costs, expenses and attorneys' fees resulting from any violation of this addendum by contractor or by its agents, employees or subcontractors, without regard to any limitation or exclusion of damages provision otherwise set forth in the contract.
15. The parties agree that the legal relationship between DHH and contractor is strictly an independent contractor relationship. Nothing in this contract and addendum shall be deemed to create a joint venture, agency, partnership, or employer-employee relationship between DHH and contractor.
16. Notwithstanding any other provision of the contract, DHH shall have the right to terminate the contract immediately if DHH determines that contractor has violated any provision of the HIPAA Rules or any material term of this addendum.
17. At the termination of the contract, or upon request of DHH, whichever occurs first, contractor shall return or destroy (at the option of DHH) all PHI received or created by contractor that contractor still maintains in any form and retain no copies of such information; or if such return or destruction is not feasible, contractor shall extend the confidentiality protections of the contract to the information and limit further uses and disclosure to those purposes that make the return or destruction of the information infeasible.

## ATTACHMENT II

### Statement of Work

#### **GOAL/PURPOSE**

The contractor will provide System Point of Entry services to infants and toddlers (birth to three years old) who have developmental delays or diagnosed medical conditions likely to result in developmental delays in accordance with the Individuals with Disabilities Education Improvement Act (IDEA). The contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family in EarlySteps, Louisiana's IDEA Part C system.

#### **Deliverable 1**

The contractor shall provide qualified and trained Intake Support Coordinators to provide the required services outlined below and to function as the EarlySteps initial point of contact for the designated region.

**Deliverable 1.1:** Contractor will receive referrals from a parent, family member, physician, teacher, service providers, agencies, etc. Contractor will respond to each referral within specified timelines, and the following services will be offered: intake coordination via face-to-face interview and/or telephone contact, screening of the child, review of referral information and concerns, access of other health or evaluation information. The contractor must conduct the face-to-face interview with the family in their natural environment unless otherwise arranged with the family and with documentation that supports the family's decision.

**Deliverable 1.2:** Contractor will ensure that completion of the initial face-to-face interview with the family will include providing the following information: introduction of the family to the EarlySteps system and providing to the family, in the family's primary language or other mode of communication (including in writing), their procedural safeguards and their right to due process under IDEA-Part C in 34 CFR 303.400-438 related to intake and eligibility procedures.

**Deliverable 1.3:** Contractor will receive informed written consent from the parent/legal guardian to participate in the EarlySteps system in order to proceed with the intake process, eligibility process, accessing of information requests and initial IFSP development.

**Deliverable 1.4:** Contractor will request and document receipt of information from appropriate health, medical, educational, and other community services providers with parental consent.

**Outcome 1.5:** Contractor will complete the family interview and developmental screening of each referred child using the Ages and Stages Questionnaire or other tool approved by EarlySteps for children referred for developmental delay.

**Deliverable 1.6:** Contractor will ensure receipt of all relevant information from the family to complete intake process including: Medicaid eligibility verification, insurance and income verification and eligibility for and referral to other community programs/services.

- The SPOE shall verify Medicaid eligibility according to the requirements specified in Chapter 4 of the Practice Manual located at <http://www.earlysteps.dhh.louisiana.gov>.

**Deliverable 1.7:** Contractor will conduct a determination of need coordinated with the EarlySteps central and regional office staff, to access the surrogate parent system. The contractor's role shall include: Submitting any such names and addresses to OCDD for appropriate surrogate parent action, using the state-developed form; assisting OCDD in recruiting surrogate parent volunteers; assisting OCDD with local surrogate parent training if necessary; reviewing the child's situation in regards to whether a parent or guardian is present; and determining if a referred child would benefit from a surrogate parent. Within ten (10) business days of the child's initial referral to the contractor, the contractor must complete and return to OCDD the designated form for each child believed to be eligible to receive a surrogate appointment based on the criteria set forth under 34 CFR 303.406. OCDD shall appoint a surrogate parent and inform the contractor of the appointment.

**Deliverable 1.8:** Contractor will send an acknowledgement of receipt of referral form to referral sources using a standard acknowledgement letter provided by EarlySteps.

**Deliverable 1.9:** Contractor will send certified letters to families when contact attempts fail.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of referrals processed within 3 business days.
- Documentation of percentage of face-to-face interviews with families within 10 business days.
- Documentation of percentage of referral acknowledgements sent within 5 business days.

## ATTACHMENT II

### Statement of Work

- Documentation of percentage of certified letters sent to families after 3 documented contact attempts.
- Reports reflect accuracy of chart data within acceptable parameters as determined in monitoring activities.
- Documentation that parent CQI survey results shall be conducted by the contractor and consistent with targets set for the Louisiana Annual Performance Report (APR) for Indicator 4 for appropriate SPOE region. The APR is posted on the EarlySteps website.

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports
- Review results of parent survey data
- Review chart for required activity documentation

#### **Deliverable 2: Conduct Eligibility Determination Process**

The contractor shall coordinate eligibility determination for each child who enters the process following screening, arrange for the eligibility evaluator, early intervention consultant, family, and other multidisciplinary team members as appropriate, and facilitate the eligibility and/or IFSP team meetings. (Approximately 5,100 eligibility evaluations were coordinated by the SPOEs in 2012-13).

Deliverable 2.1: Contractor will collect relevant assessments and evaluations shall be collected from other sources including the referral source.

Deliverable 2.2: Contractor will assemble appropriate multidisciplinary team to review the referral information and previous assessment/medical information and to participate in the eligibility determination process in accordance with IDEA Part C regulations and EarlySteps policies. This team shall be an in-house multidisciplinary team with experience with evaluating infants and toddlers with disabilities, including the early intervention consultant, and/or shall be selected from the EarlySteps-enrolled early intervention evaluation providers. Payment for the EarlySteps-enrolled evaluators will be billed by them separately according to current EarlySteps process, not through the SPOE contractor.

Deliverable 2.3: Contractor will complete the determination of eligibility as required under IDEA Part C IDEA and state and federal regulations, the EarlySteps Practice Manual and the training modules: Making Informed Decisions, Battelle Developmental-2 Inventory and the Autism Screening module. Autism screening shall be conducted with children 18 months of age and annually thereafter.

Deliverable 2.4: Contractor will conduct referrals to community supports and resources and other services, including referral for EPSDT case management for children not eligible for EarlySteps.

#### **Performance Measures**

Contractor shall provide or maintain:

- The contractor shall meet the timelines specified in the RFP. EIDS captures the data based on SPOE performance. Reports shall be generated based on these activities. In addition the SPOE shall submit a monthly performance report which is included as Attachment XI. Accurate completion of data entry results shall be in successfully issued authorizations.
- Documentation of percentage of children processed from referral to initial IFSP within 45 calendar days, consistent with targets for APR and regional targets as specified in Attachment VIII
- Documentation of parent CQI survey results shall be consistent with targets set in Louisiana APR Indicator 4
- Documentation of identification of children shall be referred to EPSDT by the Bureau of Health Services Financing contractor
- Documentation of the number of eligibility evaluations completed by the multidisciplinary eligibility team

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports and self-assessments
- Review of the results of parent survey data.
- Review of chart for required documentation

## ATTACHMENT II

### Statement of Work

#### **Deliverable 3: Assess family concerns, priorities, and resources and develop initial Individualized Family Service Plan (IFSP)**

The contractor will coordinate the results of the evaluation and assessment process including the family-directed assessment, information collected during the intake process, results of the evaluation and assessment data, using a team-based model, which supports decision-making necessary to develop the IFSP as specified below:

**Deliverable 3.1:** Contractor will ensure that family concerns, priorities and resources are accurately reflected in the IFSP following an assessment conducted as part of the eligibility determination process for families of eligible children.

**Deliverable 3.2:** Contractor will ensure that the family chooses a Family Service Coordinator and Providers from the Service Matrix.

**Deliverable 3.3:** Contractor will ensure that an IFSP team is assembled that consist of the following members:

- Parent(s) of the child
- Other family members, requested by the parent(s)
- An advocate or other person(s) requested by the family,
- The Family Service Coordinator selected by the family at the time of the initial referral, as defined under 34 CFR 303.34 that has been designated responsible for the implementation of the IFSP.
- Person(s) involved in conducting the evaluations and assessments, in-person or through other means, such as participation by telephone conference call or through pertinent records that are available at the meeting. A knowledgeable authorized representative may also attend the meeting as a substitute for the person unable to attend [34 CFR 303.343 (a) (v)], and
- Service providers [34 CFR 303.343 (a) (vi)] as appropriate.

**Deliverable 3.4:** Contractor will complete the initial IFSP within 45 calendar days of referral that identify child and family priorities according to IFSP requirements.

**Deliverable 3.5:** Contractor will complete referrals and transition activities for children referred to the OCDD and the local education agency (LEA) prior to the child's 3rd birthday according to EarlySteps and OCDD policy. Referrals to other resource agencies, such as Families Helping Families, Child Care Resource and Referral Agencies, Head Start and Early Head Start, etc., identified during intake process shall be made.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of completion of activities associated with referral, eligibility determination, and initial IFSP within 45calendar days.
- Documentation that IFSPs are complete and accurately identify child and family outcomes from assessment process
- Documentation of average costs of services within service guidelines  
EarlySteps utilizes Service Guidelines called IFSP Team services process found in Chapter 6 of the Practice Manual which outlines a process based upon 24 hours of services in 6 months. These are the service guidelines referred to in the RFP from which average per child costs can be determined. Average per child costs are typically \$2100 per child for service costs only. Variations from this guideline are allowable according to the defined process. SPOEs shall follow the guidelines in the development of the initial IFSP so that cost effectiveness is demonstrated.
- Documentation of percentage of IFSPs completed which meet targets for Louisiana APR indicators 1, 2, 7, and 8

#### **Monitoring Plan**

The contract monitor will:

- Review of chart for hard copy of IFSP, transition meeting and documentation of referrals sent to OCDD and the LEA
- Review of EIDS data is within established parameters for region according to quarterly EIDS reports
- Review of Corrective Action Plans developed and timely correction of any targets not met
- Review of monthly report submitted to regional and central office staff. Attachment XI of the RFP outlines the data that EarlySteps requires for monthly reporting by the SPOE.
- Review evidence of team process in IFSP development according to signatures of participating members.



## ATTACHMENT II

### Statement of Work

**Deliverable 4: Provide administrative functions related to collecting family financial information, issuing service authorizations and data entry for the Central Finance Office (CFO).**

The contractor will perform activities which support timely service delivery for enrolled infants and toddlers and accurate, timely data reporting as specified below:

**Deliverable 4.1:** Contractor will submit Service authorizations to the CFO within 2 business days of the initial IFSP meeting.

**Deliverable 4.2:** Contractor will ensure that subsequent service authorizations are received from and processed for the FSC and service providers within 3 days following an IFSP review /revision.

**Deliverable 4.3:** Contractor will ensure that each child's Master record is maintained as specified below.

**Deliverable 4.4:** Contractor will ensure that data uploads to CFO are conducted according to the established schedule.

**Deliverable 4.5:** Contractor will ensure that Family income information is collected during the intake process for entry into EIDS and issuance of the Family Cost Participation Notice Statement. Ongoing financial data entry will occur annually as well.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of IFSPs completed which shall meet targets for Louisiana APR Indicators 1, 2, 7, and 8
- Documentation of IFSP services fully authorized for initial service provision shall occur within 30 days of parent consent. Service providers shall be able to provide timely services following access to service authorizations
- Documentation of Family Cost Share shall be accurately calculated requiring a minimum of system adjustments following entry

#### **Monitoring Plan**

The contract monitor will:

- Review chart for master copy of IFSP and other documentation for child master record
- Review provider billing processed by CFO and Medicaid
- Review EIDS data within state-established parameters

#### **Deliverable 5: Establish and Maintain Record Keeping System according to Federal and State Requirements**

The contractor shall establish and maintain records for each child as well as in support of business operations as specified below:

**Deliverable 5.1:** Contractor will maintain all early intervention records shall be maintained in accordance with the applicable regulations under IDEA, Family Education Rights and Privacy Act (FERPA) and Education Department General Accounting Rules (EDGAR), including hard copy paper file and electronic file record, as described below, regardless of the outcome of the intake process (i.e. eligible or not, accept or decline services, etc.).

**Deliverable 5.2:** Contractor will use the Early Intervention data system software (EIDS) operated by the CFO contractor for accurate data entry as the link between the contractor's records and the EIDS. EIDS is provided at no cost to the contractor.

**Deliverable 5.3:** Contractor will obtain all notices of actions and consents; family support coordination documentation including meeting notifications, IFSP reviews/evaluations, new IFSPs, correspondence, family income information, and releases in the hard copy file record in the format required shall be maintained.

**Deliverable 5.4:** Contractor will utilize required EarlySteps forms for record keeping according to the instructions provided in the EarlySteps Practice Manual.

**Deliverable 5.5:** Contractor will ensure data entry in EIDS is accurate such that OCDD is able to:

- Identify gaps in the local service delivery system and the need for resource development, personnel recruitment, etc.;

## ATTACHMENT II

### Statement of Work

- Conduct financial forecasting, fund acquisition, and other reporting functions accurately
- Verify required system components (e.g. IFSP, releases, consents, etc.) are completed according to state and federal regulations.
- Submit eligibility verification and prior authorization data to Molina the fiscal intermediary for the Bureau of Health Services Financing.

**Deliverable 5.6:** Contractor will ensure all child and family information, medical records, and data elements collected, maintained or used in the administration of the contract from unauthorized disclosure as set forth under 34 CFR 303.406 shall be protected according to:

- Safeguards that restrict the use or disclosure of information concerning children and families to purposes directly connected with the administration of the contract.
- Records, reports, documentation, data, and material developed or acquired by the contractor, as a direct requirement specified in the contract shall become the property of the State of Louisiana.
- Information gained by the contractor as a result of the activities conducted under the contract shall be confidential, and no reports, documentation, or material prepared as required by or obtained through the contract shall be released to the public without the prior written consent of OCDD and must include the identification of EarlySteps, OCDD and the State of Louisiana.
- Signatures obtained from all employees or subcontractors of the contractor agreeing to the confidentiality provisions of the contract as required by the OCDD.

**Deliverable 5.7:** Contractor will maintain financial, time, and accounting records and evidence pertaining to the contract in accordance with generally accepted accounting principles and other procedures as specified by DHH/OCDD. These records must be made available to DHH/OCDD, and/or its designees, and the legislative auditor during the contract period, any renewal period, and for the period of time specified below for retention of records.

**Deliverable 5.8:** Contractor will securely store books, records, evidence, and other documents relevant to the contract for a period of four (4) years after final payment and the completion of an audit (if an audit is performed). Any records or documents involved in, related to, or required for any litigation, claim, negotiation, audit, or other such action must be retained until the resolution of the action, or until four years have passed after final payment and completion of any required audit, whichever is later. The contractor shall allow authorized representatives of the State of Louisiana agencies and the federal government to inspect these records upon request.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of records is complete, accurate and meets Federal and State Requirements.
- Evidence that hard copy documentation shall be consistent with EIDS data.
- Documentation of records are maintained according to the required timelines

#### **Monitoring Plan**

The contract monitor will:

- Review charts
- Conduct agency Audits
- Review Data Report

#### **Deliverable 6: Hire and Train staff to meet functions of SPOE office (see Attachment VI for Job Descriptions)**

The Contractor will conduct activities which meet personnel requirements and needs of the region as specified below. Key personnel commitments made in the contract shall only be changed with prior written approval of DHH/OCDD. The contractor shall be responsible for the training and education of new personnel at the contractor's expense. DHH/OCDD shall not be liable for any cost related to the training or education of new or substitute staff.

**Deliverable 6.1:** Contractor will hire personnel who will demonstrate effective service provision as required in the contract and meet qualifications specified.

**Deliverable 6.2:** Contractor will hire appropriate number of staff necessary to provide all required services.

**Deliverable 6.3:** Contractor will hire staff members that meet specified qualifications.

**Deliverable 6.4:** Contractor will provide additional necessary support (such as data support) to assist the Intake Service Coordinators in providing the services required herein.

## ATTACHMENT II

### Statement of Work

**Deliverable 6.5:** Contractor and/or sub-contractor will, if requested by DHH, provide all necessary authorizations for the background checks for all personnel. The contractor must arrange for background checks for required staff according to requirements of the Department of Children and Family Services. This requirement states that an employee or subcontractor of the contractor must pass a background check prior to employment and or initiation of a contract and every three years thereafter or according to the requirements of RS 49:950 et seq. (The State reserves the right to conduct a background check on any contractor or sub-contractor personnel).

#### **Performance Measures**

Contractor shall provide or maintain:

- Supporting documentation that all staff meets specified qualifications.
- Documentation of adequate staffing of program results in timeline requirements being met according to APR Indicators 1, 7, and 8.

#### **Monitoring Plan**

The contract monitor will:

- Review Charts -Personnel files
- Review EIDS reports
- Review Staff Training Records
- Review documentation of Verification of Background Checks

**Deliverable 7: Ensure that all licensing and training requirements are met according to the *Case Management Services Provider Manual*, reissued 7/01/2002.**

The contractor will arrange and/or provide case management training and EarlySteps training as specified below:

**Deliverable 7.1:** Contract will ensure that each Intake Service Coordinator and Intake Service Coordinator/Early Intervention Consultant-Supervisor complete required licensing and EarlySteps training as specified below and participate in any required meetings. In addition, the intake service coordinators must adhere to the requirements of the EarlySteps Practice Manual.

EarlySteps Training Requirements shall include the following:

- Module 1: Orientation—EarlySteps: A New Look
- Module 2: Evaluation and Assessment—Making Informed Decisions on-line module and with a face-to-face component (when available) through EarlySteps
- Module 3: Spectrum of Child Development
- Module 4: Family-Centered Practices
- Module 5: Introduction to Teaming Practices
- Module 6: Introduction to the Individualized Family Services Plan on-line and Individualized Family Service Plan Process-a face-to-face component, when available.
- Module 7: Concerns, Priorities and Resource Process, a face-to-face training activity, when available
- Module 8: Talking to Families about their Rights, an online module
- Face-to-Face Orientation to EarlySteps by Regional Coordinator
- Technical Assistance provided at a minimum of 1 hour per month with the Regional Coordinator in region served; meetings may increase based on the SPOE needs. All SPOE staff will be required to attend scheduled meetings.
- SPOE software training
- Additional training as required by DHH/OCDD

**Additional Case Management Licensing Training Requirements:**

Orientation- at least sixteen (16) hours must be provided to all staff, volunteers, and students within five (5) working days of employment. A minimum of eight (8) hours of the orientation training must cover orientation to early intervention including, but not limited to, specific service needs and resources. This orientation must include, at a minimum:

- Case Management Provider policies and procedures.
- Medicaid and other applicable DHH policies and procedures.
- Confidentiality.
- Documentation in case records.
- Parents' Rights under IDEA Part C.
- Recipient rights protection and reporting of violations.
- Recipient abuse and neglect reporting policies and procedures.
- Recognizing and defining abuse and neglect.
- Emergency and safety procedures.

## ATTACHMENT II

### Statement of Work

- Data management and record keeping.
- Infection control and universal precautions.
- Working with the early intervention population.
- Professional ethics.
- Outcome measures.

**Deliverable 7.2:** Contractor will ensure that in addition to the required sixteen (16) hours of orientation, all new employees without documented training must receive an additional minimum sixteen (16) hours of training during the first ninety (90) calendar days of employment. This training must be related to the population of infants and toddlers with disabilities to be served, must include specific knowledge, skills, and techniques, and must include the training modules listed above.

**Deliverable 7.3:** Contractor will ensure that an individual with demonstrated knowledge of both the training topics and the target population provide this training. This training must include the following at a minimum:

- Assessment techniques.
- Support and service planning.
- Support and service planning for children with complex medical needs
- Resource identification.
- Interviewing and interpersonal skills.
- Data management and record keeping.
- Communication skills
- Cultural awareness.
- Personal outcome measures.

**Deliverable 7.4:** Contract will ensure that new employees do not assume service coordinator responsibility until the orientation is satisfactorily completed. This additional training may be counted as part of the required 40 annual hours. The following is a list of suggested additional topics for training:

- Nature of illness or disability, including symptoms and behavior.
- Pharmacology.
- Potential array of services for the population.
- Building natural support system.
- Family dynamics.
- Developmental life stages.
- First aid/CPR.
- Signs and symptoms of mental illness, alcohol, and drug addiction, mental retardation/developmental disabilities and head injuries.
- Monitoring techniques.
- Advocacy.
- Behavior management techniques.
- Values clarification/goals and objectives.
- Available community resources.
- Cultural diversity.
- Health management.
- Team building/interagency collaboration.
- Transition/closure.
- Facilitating team meetings.
- Stress and time management.
- Legal issues.
- Outcome measures.

**Deliverable 7.5:** Contractor will ensure that individuals who supervise Intake Service Coordinators complete a minimum of 40 hours of training a year. Suggested topics for supervisory training include:

- Professional ethics
- Process for interviewing, screening, and hiring staff
- Orientation/in service training of staff
- Evaluating staff
  - Approaches to supervision
  - Managing caseload size
  - Conflict resolution
  - Documentation
  - Time management

## ATTACHMENT II

### Statement of Work

The contractor shall print EarlySteps Practice Manual and any updates and shall make them available to all of the contractor's staff. Verification of training on the program practice manual shall be documented by the contractor. The manual is available on the website at <http://www.earlysteps.dhh.louisiana.gov/>.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of personnel records that include - Time, date, trainer, trainer's qualifications and agenda signed by supervisor, documentation of training provided by outside entities or organizations to include certificate of attendance signed by trainer or training organizations.

#### **Monitoring Plan**

The contract monitor will:

- Review Personnel File
- Review attendance records
- Review Training and Supervision Logs

#### **Deliverable 8: Ensure quality of data reporting and quality assurance**

The contractor will develop and implement quality management strategies which assure quality of contractor and EarlySteps system implementation and accuracy of data entry and reporting as follows:

**Deliverable 8.1:** Contractor will develop written procedures for performance of the services, as required herein, within 90 calendar days of the initiation of the contract which reflect provisions of the EarlySteps system in a prompt, professional, family-centered, equitable, consistent, and culturally competent manner that ensures:

- Each referred child shall be guaranteed equal and timely access to the services available through the EarlySteps system or referred to other appropriate services, regardless of the nature of the child's disability or the degree of disability, family educational/socioeconomic status, primary language or geographic location.
- Families shall receive accurate and timely information, knowledge of choices or options available, and shall be given an explanation of their rights, opportunities and responsibilities under both Part C federal law and state law.
- Collaborative relationships with referring agencies, providers and other community agencies are developed which support the EarlySteps team-based service delivery model.
- Access for children and their families to systems and services that will assist in meeting their needs including those related to the child's developmental concerns as well as enhancing the family's capacity in meeting the needs of their child.
- Confidentiality of data, including medical records, payment information, child and family information, and early intervention service records shall be maintained
- Data shall be entered accurately and in a timely manner
- A written plan for conducting a self-evaluation and report findings to OCDD shall be developed and implemented by the Contractor throughout the Contractor's organization.
- A written approved Quality Enhancement Plan that engages in learning or collecting performance information to determine how well they are meeting the Contractor's goals; responding or acting in ways to improve performance, implementing or activating a plan that has well defined goals and objectives, and evaluating and monitoring the implementation of the quality project

**Deliverable 8.2:** Contractor will ensure that data management results in accurate data reporting which meets state and federal requirements such that:

- Procedures which ensure confidentiality of all contents including medical records, payment information, child and family information, and early intervention service records shall be implemented.
- Reporting requirement established by OCDD including monthly reports, corrective action plans, self-assessments and Individual Family Service Plans (IFSPs) shall be met.
- Procedures shall ensure timely, accurate input of data into EIDS.

#### **Performance Measures**

Contractor shall provide or maintain:

Documentation of policy manual development within 90 days of contract initiation which shall include, but shall not be limited to, the following:

- Anti-discrimination
- Evaluations
- Promotion

## ATTACHMENT II

### Statement of Work

- Disciplinary actions
- Termination
- Employee grievances
- Continuous quality management
- Training requirements

A written Quality Enhancement Plan must be developed within 90 days of contract initiation and approved by OCDD which shall include:

- Contractor's vision and mission
- Establishing a Quality Council
- Establishing an Organizational Infrastructure to Support Quality QM Policy and procedures
- Evaluating Fidelity of Implementation of the Contractor's plan and updates
- Quality management committee which includes stakeholders
- Data collection and analysis
- Procedures for conducting self-evaluation and other quality enhancements and procedures to report findings to OCDD according to established guidelines
- Training
- Procedures for determination of consumer satisfaction and means to address concerns identified

#### **Monitoring Plan**

The contract monitor will:

- Review policy manuals and quality assurance guidelines
- Review data reporting to ensure it meets schedules and results within expected parameters



DHH Contract Budget Detail

Attachment 111

FY 14/15

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	31.75	115	3,651	100	0	3,651
Data Manager	19.24	346	6,657	100	0	6,657
Supervisor/EI	19.24	346	6,657	100	0	6,657
Intake Service Coordinator	18.75	346	6,488	100	0	6,488
Intake Service Coordinator	17.79	346	6,155	100	0	6,155
Intake Service Coordinator	17.55	346	6,072	100	0	6,072
Intake Service Coordinator	17.07	346	5,906	100	0	5,906
Intake Service Coordinator	17.07	346	5,906	100	0	5,906
Admin. clerk	10.1	346	3,495	100	0	3,495
Total			50,987		0	50,987

Justification

Personnel Cost for Region 2. Program Director works approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA/Med	3,909	100	0	3,909
Health Insurance	8,467	100	0	8,467
Dental Insurance	652	100	0	652
Life Insurance	720	100	0	720
Mutual of America (retirement)	3,577	100	0	3,577
			0	0
			0	0
			0	0
			0	0
Total	17,325		0	17,325

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 33.98% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Supervisor/EI	380	100	0	380
EI Consultant	381	100	0	381
Intake Coordinator	381	100	0	381
Intake Coordinator	381	100	0	381
Intake Coordinator	381	100	0	381
Intake Coordinator	381	100	0	381
Intake Coordinator	381	100	0	381
		100	0	0
			0	0
Total	2,666		0	2,666

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 7 parishes in Region 2.

<b>(13) Operating Services</b>	<b>Column 1 Total .mt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$2458 x 2)	4,916	100	0	4,916
Telephone/Cell phone (\$1167 x 2)	2,334	100	0	2,334
Maintenance of Equipment (\$333 x 2)	666	100	0	666
IT/IT Audit (\$600 x 2)	1,200	100	0	1,200
Liability Insurance (\$200 x 2)	400	100	0	400
Workers Compensation (\$110 x 2)	220	100	0	220
Unemployment Insurance (\$110 x 2)	220	100	0	220
		0	0	0
			0	0
<b>Total</b>	<b>9,956</b>		<b>0</b>	<b>9,956</b>

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Paper, pens, file folders, etc (\$1600 x 2)	3,200	100	0	3,200
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>3,200</b>		<b>0</b>	<b>3,200</b>

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
EI Consultant (\$1250 per mo x 2)	2,500	100	0	2,500
		100	0	0
		100	0	0
			0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>2,500</b>		<b>0</b>	<b>2,500</b>

Justification

Audit services yearly.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		100	0	0
			0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. Cost	8,230	100	0	8,230
			0	0
			0	0
			0	0
			0	0
			0	0
Total	8,230		0	8,230

Justification

9.50% indirect and admin. cost.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
Total		0		0	0

Justification



DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Southeastern Louisiana AHEC - Region 2 FROM: 5/01/2015 TO: 06/30/2015

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	50,987	0	50,987
RELATED BENEFITS	(41)	17,325	0	17,325
TRAVEL	(12)	2,666	0	2,666
OPERATING SERVICES	(13)	9,956	0	9,956
SUPPLIES	(14)	3,200	0	3,200
PROFESSIONAL SVCS	(15)	2,500	0	2,500
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	8,230	0	8,230
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		94,864	0	94,864

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment 111

FY 15/16

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	31.75	693	22,003	100	0	22,003
Data Manager	19.24	2,080	40,019	100	0	40,019
Supervisor/EI	19.24	2,080	40,019	100	0	40,019
Intake Service Coordinator	18.75	2,080	39,000	100	0	39,000
Intake Service Coordinator	17.79	2,080	37,003	100	0	37,003
Intake Service Coordinator	17.55	2,080	36,504	100	0	36,504
Intake Service Coordinator	17.07	2,080	35,506	100	0	35,506
Intake Service Coordinator	17.06	2,080	35,485	100	0	35,485
Admin. clerk	10.1	2,080	21,008	100	0	21,008
Total			306,547		0	306,547

Justification

Personnel Cost for Region 2. Program Director works approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA/Med	23,451	100	0	23,451
Health Insurance	50,800	100	0	50,800
Dental Insurance	3,913	100	0	3,913
Life Insurance	4,320	100	0	4,320
Mutual of America (retirement)	21,459	100	0	21,459
			0	0
			0	0
			0	0
Total	103,943		0	103,943

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 33.9078% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Supervisor/EI	2,285	100	0	2,285
EI Consultant	2,285	100	0	2,285
Intake Coordinator	2,286	100	0	2,286
Intake Coordinator	2,286	100	0	2,286
Intake Coordinator	2,286	100	0	2,286
Intake Coordinator	2,286	100	0	2,286
Intake Coordinator	2,286	100	0	2,286
		100	0	0
			0	0
Total	16,000		0	16,000

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 7 parishes in Region 2.



<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$2458 x 12)	29,496	100	0	29,496
Telephone/Cell phone (\$1167 x 12)	14,004	100	0	14,004
Maintenance of Equipment (\$333.30 x 12)	4,000	100	0	4,000
IT/IT Audit (\$600 x 12)	7,200	100	0	7,200
Liability Insurance (\$200 x 12)	2,400	100	0	2,400
Workers Compensation (\$110 x 12)	1,320	100	0	1,320
Unemployment Insurance (\$110 x 12)	1,320	100	0	1,320
		100	0	0
			0	0
<b>Total</b>	<b>59,740</b>		<b>0</b>	<b>59,740</b>

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Paper, pens, file folders, etc (\$1600 x 12)	19,200	100	0	19,200
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>19,200</b>		<b>0</b>	<b>19,200</b>

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Audit (\$200 x 12)	2,400	100	0	2,400
EI Consultant (\$1250 per mo x 12)	15,000	100	0	15,000
		100	0	0
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>17,400</b>		<b>0</b>	<b>17,400</b>

Justification

Audit services yearly. EI consultant contracted to meet contract requirements.





DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Southeastern Louisiana AHEC - Region 2 FROM: 7/01/2015 TO: 06/30/2016

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	306,547	0	306,547
RELATED BENEFITS	(41)	103,943	0	103,943
TRAVEL	(12)	16,000	0	16,000
OPERATING SERVICES	(13)	59,740	0	59,740
SUPPLIES	(14)	19,200	0	19,200
PROFESSIONAL SVCS	(15)	17,400	0	17,400
CAPITAL ASSETS	(16)	1,000	0	1,000
ADMINISTRATIVE	(17)	49,764	0	49,764
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		573,594	0	573,594

Note: No data entry allowed in this item

☐ Click Here if Combined Federal / State Funds  
If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment 111

FY 16/17

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	31.75	693	22,003	100	0	22,003
Data Manager	19.24	2,080	40,019	100	0	40,019
Supervisor/EI	19.24	2,080	40,019	100	0	40,019
Intake Service Coordinator	18.75	2,080	39,000	100	0	39,000
Intake Service Coordinator	17.79	2,080	37,003	100	0	37,003
Intake Service Coordinator	17.55	2,080	36,504	100	0	36,504
Intake Service Coordinator	17.07	2,080	35,506	100	0	35,506
Intake Service Coordinator	17.06	2,080	35,485	100	0	35,485
Admin. clerk	10.1	2,080	21,008	100	0	21,008
Total			306,547		0	306,547

Justification

Personnel Cost for Region 2. Program Director works approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA/Med	23,451	100	0	23,451
Health Insurance	55,880	100	0	55,880
Dental Insurance	4,304	100	0	4,304
Life Insurance	4,320	100	0	4,320
Mutual of America (retirement)	21,459	100	0	21,459
			0	0
			0	0
			0	0
Total	109,414		0	109,414

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 35.6923% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Supervisor/EI	2,285	100	0	2,285
EI Consultant	2,285	100	0	2,285
Intake Coordinator	2,286	100	0	2,286
Intake Coordinator	2,286	100	0	2,286
Intake Coordinator	2,286	100	0	2,286
Intake Coordinator	2,286	100	0	2,286
Intake Coordinator	2,286	100	0	2,286
			0	0
Total	16,000		0	16,000

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 7 parishes in Region 2.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$2458 x 12)	29,496	100	0	29,496
Telephone/Cell phone (\$1167 x 12)	14,004	100	0	14,004
Maintenance of Equipment (\$333 x 12)	3,996	100	0	3,996
IT/IT Audit (\$600 x 12)	7,200	100	0	7,200
Liability Insurance (\$200 x 12)	2,400	100	0	2,400
Workers Compensation (\$110 x 12)	1,320	100	0	1,320
Unemployment Insurance (\$110 x 12)	1,320	100	0	1,320
		100	0	0
			0	0
<b>Total</b>	<b>59,736</b>		<b>0</b>	<b>59,736</b>

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Paper, pens, file folders, etc (\$1600 x 12)	19,200	100	0	19,200
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>19,200</b>		<b>0</b>	<b>19,200</b>

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Audit (\$200 x 12)	2,400	100	0	2,400
EI Consultant (\$1250 x 12)	15,000	100	0	15,000
		100	0	0
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>17,400</b>		<b>0</b>	<b>17,400</b>

Justification

Legal and audit services yearly. EI consultant contracted to meet contract requirements.



(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Laptops (\$1000 x 1)	1,000	100	0	1,000
			0	0
			0	0
Total	1,000		0	1,000

Justification

Replacement of computers on rotating basis. Computer life 3 to 4 years.

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. Cost	50,283	100	0	50,283
			0	0
			0	0
			0	0
			0	0
			0	0
Total	50,283		0	50,283

Justification

9.50% indirect and admin. cost.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
Total		0		0	0

Justification



DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Southeastern Louisiana AHEC - Region 2      FROM: 7/01/2016      TO: 06/30/2017

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	306,547	0	306,547
RELATED BENEFITS	(41)	109,414	0	109,414
TRAVEL	(12)	16,000	0	16,000
OPERATING SERVICES	(13)	59,736	0	59,736
SUPPLIES	(14)	19,200	0	19,200
PROFESSIONAL SVCS	(15)	17,400	0	17,400
CAPITAL ASSETS	(16)	1,000	0	1,000
ADMINISTRATIVE	(17)	50,283	0	50,283
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		579,580	0	579,580

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

**DHH Contract Budget Detail**

Attachment 111

FY 17/18

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	31.77	578	18,363	100	0	18,363
Data Manager	19.24	1,734	33,362	100	0	33,362
Supervisor/EI	19.24	1,734	33,362	100	0	33,362
Intake Service Coordinator	18.75	1,734	32,513	100	0	32,513
Intake Service Coordinator	17.79	1,734	30,848	100	0	30,848
Intake Service Coordinator	17.55	1,734	30,432	100	0	30,432
Intake Service Coordinator	17.07	1,734	29,599	100	0	29,599
Intake Service Coordinator	17.07	1,734	29,599	100	0	29,599
Admin. clerk	10.1	1,734	17,513	100	0	17,513
Total			255,591		0	255,591

Justification

Personnel Cost for Region 2. Program Director works approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA/Med	19,540	100	0	19,540
Health Insurance	46,567	100	0	46,567
Dental Insurance	3,587	100	0	3,587
Life Insurance	3,600	100	0	3,600
Mutual of America (retirement)	17,883	100	0	17,883
			0	0
			0	0
			0	0
Total	91,177		0	91,177

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 35.673% related benefits rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Supervisor/EI	1,905	100	0	1,905
EI Consultant	1,905	100	0	1,905
Intake Coordinator	1,904	100	0	1,904
Intake Coordinator	1,904	100	0	1,904
Intake Coordinator	1,904	100	0	1,904
Intake Coordinator	1,904	100	0	1,904
Intake Coordinator	1,904	100	0	1,904
			0	0
			0	0
Total	13,330		0	13,330

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 7 parishes in Region 2.

(13) Operating Services	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Rent (\$2458 x 10)	24,580	100	0	24,580
Telephone/Cell phone (\$1167 x 10)	11,670	100	0	11,670
Maintenance of Equipment (\$333 x 10)	3,330	100	0	3,330
IT/IT Audit (\$600 x 10)	6,000	100	0	6,000
Liability Insurance (\$200 x 10)	2,000	100	0	2,000
Workers Compensation (\$110 x 10)	1,100	100	0	1,100
Unemployment Insurance (\$110 x 10)	1,100	100	0	1,100
		100	0	0
			0	0
Total	49,780		0	49,780

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

(14) Supplies	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Paper, pens, file folders, etc (\$1600 x 10)	16,000	100	0	16,000
			0	0
			0	0
			0	0
			0	0
Total	16,000		0	16,000

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

(15) Professional Services	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Audit (\$240 x 10)	2,400	100	0	2,400
EI Consultant (\$1250 x 10)	12,500	100	0	12,500
		100	0	0
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
Total	14,900		0	14,900

Justification

Audit services yearly. EI consultant contracted to meet contract requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Laptops (\$1000 x 1)	1,000	100	0	1,000
			0	0
			0	0
Total	1,000		0	1,000

Justification

Replacement of computers on rotating basis. Computer life 3 to 4 years.

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. Cost	41,969	100	0	41,969
			0	0
			0	0
			0	0
			0	0
			0	0
Total	41,969		0	41,969

Justification

9.50% indirect and admin. cost.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
Total		0		0	0

Justification





DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Southeastern Louisiana AHEC - Region 2 FROM: 7/01/2017 TO: 4/30/2018

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	255,591	0	255,591
RELATED BENEFITS	(41)	91,177	0	91,177
TRAVEL	(12)	13,330	0	13,330
OPERATING SERVICES	(13)	49,780	0	49,780
SUPPLIES	(14)	16,000	0	16,000
PROFESSIONAL SVCS	(15)	14,900	0	14,900
CAPITAL ASSETS	(16)	1,000	0	1,000
ADMINISTRATIVE	(17)	41,969	0	41,969
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		483,747	0	483,747

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

Part C - System Point of Entry  
Sample Monthly Invoice

Agency Name:  
CFMS #:  
Contact Person:  
Address:  
  
Phone:  
Email:

Month:

Vendor#:

Invoice #:

SPOE Region:      PROGRAM: EARLYSTEPS

Date:

Categories		Approved Amount	Previously Billed	Current Expenses	Balance Remaining
Personnel			\$ -	\$ -	\$
Related Benefits			-	-	
Travel			-	-	
Operating Supplies			-	-	
Supplies			-	-	
Professional Services					
Capital Assets			-	-	
Administrative			-	-	
Total			\$ -	\$ -	\$

CONTRACTOR'S CERTIFICATE

"This is to certify that the information contained on this form is true, accurate and complete and that expenditures shown above were made for the furtherance of and in conformity with the contractual agreement with DHH/OCDD."

Signature of Contractor

Date

OCDD Approval Signature

Date

225-342-0095  
Contact Phone #

## Sample SPOE Monthly Report

[illegible][illegible]

## **Attachment VI**

1. **Order of Precedence:** The contract shall, to the extent possible, be construed to give effect to all provision contained therein, however, where provisions conflict, the intent of the parties shall be determined by giving a first priority to provisions of the contract excluding the RFP and the proposal; second priority to the provision of the RFP; and third priority to the provisions of the proposal.
2. **Entire Agreement:** This contract, together with the RFP and addenda issued thereto by the Department, the proposal submitted by the contractor in response to the Department's RFP, and any exhibits specifically incorporated herein reference constitute the entire agreement between the parties with respect to the subject matter.

BOARD RESOLUTION

STATE OF LOUISIANA  
PARISH OF TANGIPAHOA

On the 18th day of June, 2014, at a meeting of the Board of Directors of Southeastern Louisiana Area Health Education Center a corporation, held in the city of Hammond, Tangipahoa Parish, Louisiana with a quorum of the directors present, the following business was conducted:

It was duly moved and seconded that the above corporation do hereby authorize Virginia Pelegrin, President or Brian P. Jakes, Sr., Chief Executive Officer to negotiate at any time within 36 months from this date and on terms and conditions that she/he may deem advisable, a contract or contracts with the Louisiana Department of Health and Hospitals, to execute said documents on behalf of the corporation and further we do hereby give her/him the power and authority to do all things necessary to implement, maintain, amend or renew said documents.

The above resolution was passed by a majority of those present and voting in accordance with the bylaws and articles of incorporation.

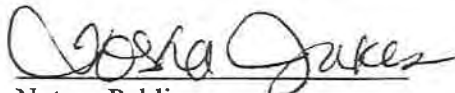
I certify that the above and foregoing constitutes a true and correct copy of a part of the minutes of a meeting of the Board of Directors of Southeastern Louisiana Area Health Education Center.

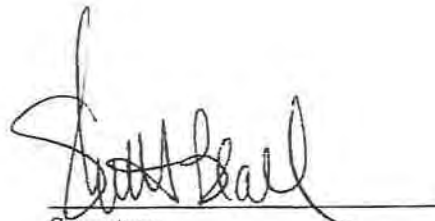
Held on the 16th day of June, 2014.

Subscribed and sworn before me, a Notary Public

For the Parish of St. Tammany State of Louisiana

On the 21<sup>st</sup> day of January, 2015.

  
Notary Public # 136012

  
Secretary





# State of Louisiana

## DEPARTMENT OF HEALTH AND HOSPITALS Office for Citizens with Developmental Disabilities

March 25, 2015

Ms. Pamela Bartfay-Rice, Esq.  
Director  
Divisions of Administration  
Office of Contractual Review  
P.O. Box 94095  
Baton Rouge, LA 70804-9095

Dear Ms. Rice:

Please consider this justification for the Department of Health and Hospitals, Office for Citizens with Developmental Disabilities to enter in to a multi-year contract with the ten System Point of Entry Contractors selected through the RFP process:

- Region 1 – Easter Seals Louisiana (CFMS – 735114)
- Region 2 – Southeast Area Health Education Center (CFMS – 735115)
- Region 3 – Southeast Area Health Education Center (CFMS – 735268)
- Region 4 – First Steps Referral and Consulting, LLC (CFMS – 735229)
- Region 5 – First Steps Referral and Consulting, LLC (CFMS – 735210)
- Region 6 – Easter Seals Louisiana (CFMS – 735219)
- Region 7 – Families Helping Families at the Crossroads (CFMS – 735293)
- Region 8 – Easter Seals Louisiana (CFMS – 735294)
- Region 9 – Southeast Area Health Education Center (CFMS – 735292)
- Region 10 – Southeast Area Health Education Center (CFMS – 735213)

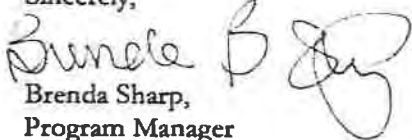
These contractors provide services for the EarlySteps system which are required by the Federal IDEA, Part C program with the US Department of Education. A multi-year contract supports the continuity of the required services: intake, initial eligibility determination, intake service coordination, as well as hosting the regional data systems for the State system for 10,000 annual referrals, and service authorizations for approximately 9300 children each year.

Funds for the first fiscal year of the contract are available and payment and performance for subsequent fiscal years shall be subject to the availability of funds.

The estimated requirements covering the period of the contract are reasonably firm and continuing and such a contract will serve the best interests of the State by encouraging effective competition or otherwise promoting economies in state procurement through the continuity of services provided over multiple years.

If further information is needed, please call (342-0095).

Sincerely,

  
Brenda Sharp,  
Program Manager

## SUMMARY OF INFORMATION

<b>CONTRACTOR NAME</b> Southeastern Louisiana Area Health Education Center	<b>Amount</b> <b>\$ 1,731,785.00</b>
<b>CONTRACT DATES</b> <b>Effective Date</b> 05-01-2015 <b>Termination Date</b> 04-30-2018	<b>BA-22 ATTACHED</b> <input checked="" type="checkbox"/>

Certification Requirements: (Check Applicable Items)

- ☒ 1. Either no employee of this agency is both competent and available to perform the services called for by the proposed contract and/or the services called for are not the type readily susceptible of being performed by persons who are employed by the State on a continuing basis.
- ☒ 2. The services are not available as a product of a prior or existing professional, personal contract.
- ☒ 3. When applicable, the requirements for consultant contracts, as provided for under R.S. 39:1503-1507, have been complied with (proper documentation should be provided).
- ☒ 4. The using agency has developed and fully intends to implement a written plan providing for the assignment of specific using personnel to a monitoring and liaison function. Identify name of individual of staff unit responsible for monitoring this contract:

<b>Name</b> Brenda Sharp, Program Manager	<b>Phone No.</b> (225)342-0095
<b>Location</b> 628 N. 4th Street P.O. Box 3117 Bin 21 Baton Rouge, LA 70821-3117	

**Summary of Monitoring Plan:** (This must include periodic review of specified reports, documents, exception reporting, or other indicia or performance, etc.). Additional pages may be attached if necessary.

Monitoring will be achieved by receipt of all deliverables as listed on Attachment II including the review of monthly reports submitted and reports obtained through the central data system which will be monitored by the EarlySteps Program Manager.

The ultimate use of the final product of the services: (Specify)

Identify EarlySteps eligible infants and toddlers served under the Part C system thus meeting the federal benchmark of a least 2% served statewide.

- ☒ 5. Respond to questions A or B on all contracts except those funded by "Other Charges" (3600 series) of Budget:
- A. What critical services will go unprovided and to whom?
- Early intervention services would not be available to children in need.
- B. How many hours will the contractor have to work? N/A
- ☒ 6. Completed monitoring report will be submitted to the Office of Contractual Review within **60** days after termination of contract. **(For Personal, Professional, Consulting contracts exceeding \$20,000)**
- ☒ 7. The services have not been artificially divided to as to constitute a small purchase (not exceeding \$20,000).
- ☒ 8. A cost-benefit analysis has been conducted which indicates that obtaining such services from the private sector is more cost-effective than providing such services the agency itself or by any agreement with another state agency and includes both a short-term and long-term analysis and is available for review.
- ☒ 9. The cost basis for the proposed contract is justified and reasonable.
- ☒ 10. A description of the specific goals and objectives, deliverables, performance measures and a plan for monitoring the services to be provided are contained in the proposed contract.

**PRIOR CONTRACT INFORMATION MUST BE FILLED OUT (IF NO PRIOR CONTRACT PUT N/A)**

<b>PRIOR YEAR SERVICES PROVIDED BY (Contractor Name):</b> Southeastern Louisiana Area Health Education Center			
<b>CFMS#:</b> 730485	<b>DHH#:</b> 060287	<b>EFF:</b> 07-01-2014	<b>TERM:</b> 04-30-2015
<b>AMOUNT:</b> \$ 439,999.00	<b>PREVIOUSLY ISSUED UNDER RFP?</b> IF YES, DATE: <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO      DATE: 06-02-2011		

YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Contains a date upon which the contract is to begin and upon which the contract will terminate.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Contains a description of the work to be performed and objectives to be met.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Contains an amount and time payment to be made.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Contains a description of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Contains a date of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. When a contract includes travel and/or other reimbursable expenses, it contains language to effect the following:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	A. Travel and other reimbursable expenses shall constitute part of the total maximum payable under the contract; (or)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	B. No more than (a certain sum) of the total maximum amount payable under this contract shall be paid or received as reimbursement for travel and other reimbursable expenses; (and)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	C. Travel expenses shall be reimbursed in accordance with Division of Administration Policy and Procedure memorandum 49 (The State General Travel Regulations).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. Contains the responsibility for payment of taxes.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	8. Contains the circumstances under which the contract can be terminated either with or without cause and contains the remedies for default.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	9. Contains a statement giving the Legislative Auditor the authority to audit records of the individual(s) or firm(s).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10. Contains an assignability clause as provided for under LAC-4:4.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	11. Budget Form BA-22, fully completed and attached to back of each contract.

DETERMINATION OF RESPONSIBILITY

YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Had adequate financial resources for performance, or has the ability to obtain such resources as required during performance.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Has the necessary experience, organization, technical qualifications, skills and facilities or has the ability to obtain them (including probable subcontractor arrangements).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Is able to comply with the proposed or required time of delivery or performance schedule.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Has a satisfactory record of integrity, judgment and performance (contractors which are seriously delinquent in current contract performance, considering the number of contracts and the extent of delinquencies of each, shall in the absences of evidence to the contrary or compelling circumstances presumed to be unable to fulfill this agreement).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Is otherwise qualified and eligible to receive an award under applicable laws and regulations.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. If a contract for consulting services is for \$50,000 or more: The head of the using agency has prepared, signed and placed in the contract file a statement of the facts on which a determination of responsibility of offer or potential subcontractors have been filed with the statement.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. On subcontracting, it has been established that contractors recent performance history indicates acceptable subcontracting systems; or, major subcontractors have been determined by the heads of the using agency to satisfy this standard

R.F.P. CONSULTING CONTRACTS FOR \$50,000 OR MORE; UNLESS DETERMINED EXEMPT AS PER ACT 673 of 1985, R.S. 39:1494.1 (A).

☐ Contract file attached and this includes:

☐ Criteria for selection ☐ Proposals ☐ Pertinent Documents ☐ Selection Memorandum

PROGRAM / FACILITY SIGNATURE

ASSISTANT SECRETARY OR DESIGNEE SIGNATURE

OFFICE  
OCDD/EarlySteps

PHONE NUMBER  
(225)342-5715

OFFICE  
Office for Citizens with Developmental Disabilities

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION  
BA-22 (REV. 09/2005)

Date: 4/2/2015 Dept/Budget Unit: 09/340/2000  
Agency Name: Office for Citizens with Developmental Disabi OCR/CFMS Contract #: 735115  
Agency BA-22 #: 29 Agency Contract #: 060728

Fiscal Year for this BA-22: 2014-2015 BA-22 Start/End Dates: 05/01/15 06/30/15  
(yyyy-yy) (Start Date) (End Date)

Multi-year Contract (Yes/No): yes If "Yes", provide contract dates:  
05/01/15 04/30/18  
(Start Date) (End Date)

Southeast Louisiana Area Health ED. CTR. 72115501400  
(Contractor/Vendor Name) (Contractor/Vendor No.)

Contractor will provide System Point of Entry services with the Region 2 Parishes for Early Steps.  
(Provide a statement of "Services Provided")

Contract Amendment (Yes/No): NO Amendment Start/End Dates: \_\_\_\_\_  
(Start Date) (End Date)

Contract Cancellation (Yes/No): NO Date of Cancellation: \_\_\_\_\_

(Provide rationale for amendment or cancellation)

This information is to be provided at the Agency Level					
MEANS OF FINANCING	AMOUNT				
	Current Year	%	Total Contract		
State General Fund	\$0	0%	\$0	0.0%	
Interagency Transfers	\$0	0%	\$0	0.0%	
Fees and Self Gen.	\$0	0.0%	\$0	0.0%	
Statutory Dedication	\$0	0.0%	\$0	0.0%	
Federal	\$94,864	100%	\$1,731,785	100.0%	
TOTALS	\$94,864	100%	\$1,731,785	100.0%	

\*Specify Source (i.e., grant name, fund name, IAT sending agency and revenue source, fee type and source, etc.)  
Are revenue collections for funds utilized above in line with budgeted amounts? (Yes/No) \_\_\_\_\_  
If not, explain.

This information is to be provided at the Agency Level	
Name of Object Code/Category:	Miscellaneous Charges
Object Code/Category Number:	3655
Amount Budgeted:	\$15,496,069
Amount Previously Obligated:	\$6,045,475
Amount this BA-22:	\$94,864
Balance:	\$9,355,730

The approval of the aforementioned contract will not cause this agency to be placed in an Object Category deficit.

Agency Contact: Clent Goff Reviewed/Approved By: Geetha Kumar  
Name: Clent Goff Name: Geetha Kumar  
Title: Program Manager 1 Title: Program Manager  
Phone: (225) 342-0943 Phone: (225) 342-8725

FOR AGENCY USE ONLY						
AGENCY	PROGRAM	ACTIVITY	ORGANIZ.	OBJECT	REPT CAT	AMOUNT
340	2000		8212	3655	8107	\$94,864.00

AMENDMENT TO  
AGREEMENT BETWEEN STATE OF LOUISIANA  
LOUISIANA DEPARTMENT OF HEALTH

Amendment #: 1  
LAGOV#: 2000122751  
LDH #: 060730

(Regional/ Program/ Facility	<u>Office for Citizens with Developmental Disabilities</u> <u>EarlySteps, Louisiana's Early Intervention System</u>	Original Contract Amt <u>\$ 1,772,477.00</u>
	<b>AND</b>	Original Contract Begin Date <u>05-01-2015</u>
	<u>Southeastern Louisiana Area Health Education Center</u>	Original Contract End Date <u>04-30-2018</u>
	Contractor Name	RFP Number: <u>305PUR-DHHRFP-SPQ5</u>

AMENDMENT PROVISIONS

Change Contract From: From Maximum Amount: \$ 1,772,477.00 Current Contract Term: 05/01/2015 - 04/30/2018

CF-1 Block 13 Maximum Contract Amount \$1,772,477 FY15 \$97,328 FY16 \$586,904, FY17 \$592,894, FY18 \$495,351

CF-1 Block 14 Terms of Payment: See Attachment III: Budget

Change Contract To: To Maximum Amount: \$ 2,960,554.00 Changed Contract Term: 5/01/2015- 4/30/2020

CF-1 Block 13 Maximum Contract Amount \$2,960,554 FY15 \$97,328 FY16 \$586,904; FY17 \$592,894; FY18 \$495,351 (10 month); FY 18 \$98,663 (2 month); FY19 \$594,063; FY20 \$495,351

CF-1 Block 14 Terms of Payment: See Attachment III: Budget

Justifications for amendment:

The current contract, which was executed via RFP# 305PUR-DHHRFP-SPOE-2014-OCDD on May 1, 2015, expires on April 30, 2018. The RFP included an option to extend the resulting contract from 3 to 5 years. Since 2008, the RFP has been issued 3 times with one other qualified applicant competing. LDH/OCDD is satisfied with the performance of Southeastern Louisiana Area Health Education Center of Louisiana in meeting all deliverables and would like to exercise the option to extend the contract the allowable 24 months, in the Region 3 parishes for EarlySteps, the Louisiana's Early Intervention program.

This Amendment Becomes Effective: 05-01-2018

This amendment contains or has attached hereto all revised terms and conditions agreed upon by contracting parties.

IN WITNESS THEREOF, this amendment is signed and entered into on the date indicated below.

<b>CONTRACTOR</b>	<b>STATE OF LOUISIANA</b>
<u>Southeastern Louisiana Area Health Education Center</u>	<b>LOUISIANA DEPARTMENT OF HEALTH</b>
	<u>Secretary, Louisiana Department of Health or Designee</u>
<b>CONTRACTOR SIGNATURE</b>	<b>SIGNATURE</b>
<b>DATE</b>	<b>DATE</b>
PRINT NAME <u>Brian P. Jakes, Sr.</u>	NAME <u>Mark A. Thomas</u>
CONTRACTOR TITLE <u>Chief Executive Officer</u>	TITLE <u>Assistant Secretary</u>
	OFFICE <u>Office for Citizens with Developmental Disabilities</u>
	<b>PROGRAM SIGNATURE</b>
	<b>DATE</b>
	NAME

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	32.74	115	3,765	100	0	3,765
Intake Coordinator Supervisor	26.43	346	9,145	100	0	9,145
Intake Coordinator	18.26	346	6,318	100	0	6,318
Intake Coordinator	16.82	346	5,820	100	0	5,820
Intake Coordinator	16.82	346	5,820	100	0	5,820
Intake Coordinator	16.82	346	5,820	100	0	5,820
Intake Coordinator	16.82	346	5,820	100	0	5,820
Intake Coordinator	16.82	346	5,820	100	0	5,820
Admn Clerk/Data Manager	14.41	346	4,986	100	0	4,986
Total			53,314		0	53,314

Justification

Personnel Cost for Region 3. Program Director is approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA/Med	4,080	100	0	4,080
Health Insurance	9,314	100	0	9,314
Dental Insurance	718	100	0	718
Life Insurance	720	100	0	720
Mutual of America (retirement)	3,696	100	0	3,696
			0	0
			0	0
Total	18,528		0	18,528

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 34.7518% related benefits.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Intake Coordinator Supervisor	479	100	0	479
EI Consultant	479	100	0	479
Intake Coordinator	479	100	0	479
Intake Coordinator	479	100	0	479
Intake Coordinator	479	100	0	479
Intake Coordinator	479	100	0	479
Intake Coordinator	479	100	0	479
Intake Coordinator	479	100	0	479
			0	0
Total	3,832		0	3,832

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore eight staff will travel to 7 parishes in Region 3.



<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$1600 x 2)	3,200	100	0	3,200
Utilities (\$291.66 x 2)	583	100	0	583
Telephone/Cell phone (\$1100 x 2)	2,200	100	0	2,200
Maintenance of Equipment (\$416.66 x 2)	833	100	0	833
IT/IT Audit (\$500 x 2)	1,000	100	0	1,000
Liability Insurance (\$200 x 2)	400	100	0	400
Workers Compensation (\$100 x 2)	200	100	0	200
Unemployment Insurance (\$100 x 2)	200	100	0	200
			0	0
<b>Total</b>	<b>8,616</b>		<b>0</b>	<b>8,616</b>

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Paper, pens, file folders, etc (\$1416.66 x 2)	2,833	100	0	2,833
			0	0
<b>Total</b>	<b>2,833</b>		<b>0</b>	<b>2,833</b>

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
EI Consultant (\$1249.99 x 2)	2,500	100	0	2,500
Audit (\$240 x 2)	480	100	0	480
			0	0
			0	0
<b>Total</b>	<b>2,980</b>		<b>0</b>	<b>2,980</b>

Justification

Legal and audit services yearly. EI consultant contracted to meet contract requirements.





LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: AHEC Reg 3 FROM: 5/1/18 TO: 6/30/18

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	53,314	0	53,314
RELATED BENEFITS	(41)	18,528	0	18,528
TRAVEL	(12)	3,832	0	3,832
OPERATING SERVICES	(13)	8,616	0	8,616
SUPPLIES	(14)	2,833	0	2,833
PROFESSIONAL SVCS	(15)	2,980	0	2,980
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	8,560	0	8,560
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		98,663	0	98,663

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

LDH Contract Budget Detail

Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	32.74	693	22,689	100	0	22,689
Intake Coordinator Supervisor	26.43	2,080	54,974	100	0	54,974
Intake Coordinator	18.26	2,080	37,981	100	0	37,981
Intake Coordinator	16.82	2,080	34,986	100	0	34,986
Intake Coordinator	16.82	2,080	34,986	100	0	34,986
Intake Coordinator	16.82	2,080	34,986	100	0	34,986
Intake Coordinator	16.82	2,080	34,986	100	0	34,986
Intake Coordinator	16.82	2,080	34,986	100	0	34,986
Admn Clerk/Data Manager	14.41	2,080	29,973	100	0	29,973
Total			320,547		0	320,547

Justification

Personnel Cost for Region 3. Program Director is approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA/Med	24,480	100	0	24,480
Health Insurance	55,884	100	0	55,884
Dental Insurance	4,308	100	0	4,308
Life Insurance	4,320	100	0	4,320
Mutual of America (retirement)	22,404	100	0	22,404
			0	0
			0	0
Total	111,396		0	111,396

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 34.7518% related benefits.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Intake Coordinator Supervisor	2,875	100	0	2,875
EI Consultant	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
			0	0
Total	23,000		0	23,000

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore eight staff will travel to 7 parishes in Region 3.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$1600 x 12)	19,200	100	0	19,200
Utilities (\$291.66 x 12)	3,500	100	0	3,500
Telephone/Cell phone (\$1100 x 12)	13,200	100	0	13,200
Maintenance of Equipment (\$416.66 x 12)	5,000	100	0	5,000
IT/IT Audit (\$500 x 12)	6,000	100	0	6,000
Liability Insurance (\$200 x 12)	2,400	100	0	2,400
Workers Compensation (\$100 x 12)	1,200	100	0	1,200
Unemployment Insurance (\$100 x 12)	1,200	100	0	1,200
			0	0
<b>Total</b>	<b>51,700</b>		<b>0</b>	<b>51,700</b>

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Paper, pens, file folders, etc (\$1416.66 x 12)	17,000	100	0	17,000
			0	0
<b>Total</b>	<b>17,000</b>		<b>0</b>	<b>17,000</b>

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
EI Consultant (\$1249.99 x 12)	15,000	100	0	15,000
Audit (\$240 x 12)	2,880	100	0	2,880
			0	0
<b>Total</b>	<b>17,880</b>		<b>0</b>	<b>17,880</b>

Justification

Legal and audit services yearly. EI consultant contracted to meet contract requirements.







LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: AHEC Reg 3 FROM: 7/1/18 TO: 4/30/19

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	320,547	0	320,547
RELATED BENEFITS	(41)	111,396	0	111,396
TRAVEL	(12)	23,000	0	23,000
OPERATING SERVICES	(13)	51,700	0	51,700
SUPPLIES	(14)	17,000	0	17,000
PROFESSIONAL SVCS	(15)	17,880	0	17,880
CAPITAL ASSETS	(16)	1,000	0	1,000
ADMINISTRATIVE	(17)	51,540	0	51,540
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		594,063	0	594,063

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	32.74	578	18,924	100	0	18,924
Intake Coordinator Supervisor	26.43	1,734	45,830	100	0	45,830
Intake Coordinator	18.26	1,734	31,663	100	0	31,663
Intake Coordinator	16.82	1,734	29,166	100	0	29,166
Intake Coordinator	16.82	1,734	29,166	100	0	29,166
Intake Coordinator	16.82	1,734	29,166	100	0	29,166
Intake Coordinator	16.82	1,734	29,166	100	0	29,166
Intake Coordinator	16.82	1,734	29,166	100	0	29,166
Admn Clerk/Data Manager	14.41	1,734	24,987	100	0	24,987
Total			267,234		0	267,234

Justification

Personnel Cost for Region 3. Program Director is approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
FICA/Med	20,400	100	0	20,400
Health Insurance	46,570	100	0	46,570
Dental Insurance	3,590	100	0	3,590
Life Insurance	3,600	100	0	3,600
Mutual of America (retirement)	18,670	100	0	18,670
			0	0
Total	92,830		0	92,830

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 34.7372% related benefits.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Intake Coordinator Supervisor	2,395	100	0	2,395
EI Consultant	2,395	100	0	2,395
Intake Coordinator	2,395	100	0	2,395
Intake Coordinator	2,395	100	0	2,395
Intake Coordinator	2,395	100	0	2,395
Intake Coordinator	2,395	100	0	2,395
Intake Coordinator	2,395	100	0	2,395
Intake Coordinator	2,395	100	0	2,395
			0	0
Total	19,160		0	19,160

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore eight staff will travel to 7 parishes in Region 3.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$1600 x 10)	16,000	100	0	16,000
Utilities (\$291.66 x 10)	2,917	100	0	2,917
Telephone/Cell phone (\$1100 x 10)	11,000	100	0	11,000
Maintenance of Equipment (\$416.66 x 10)	4,167	100	0	4,167
IT/IT Audit (\$500 x 10)	5,000	100	0	5,000
Liability Insurance (\$200 x 10)	2,000	100	0	2,000
Workers Compensation (\$100 x 10)	1,000	100	0	1,000
Unemployment Insurance (\$100 x 10)	1,000	100	0	1,000
			0	0
<b>Total</b>	<b>43,084</b>		<b>0</b>	<b>43,084</b>

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Paper, pens, file folders, etc (\$1416.66 x 10)	14,167	100	0	14,167
			0	0
<b>Total</b>	<b>14,167</b>		<b>0</b>	<b>14,167</b>

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
EI Consultant (\$1249.99 x 10)	12,500	100	0	12,500
Audit (\$240 x 10)	2,400	100	0	2,400
			0	0
<b>Total</b>	<b>14,900</b>		<b>0</b>	<b>14,900</b>

Justification

Legal and audit services yearly. EI consultant contracted to meet contract requirements.







LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: AHEC Reg 3 FROM: 7/1/19 TO: 4/30/20

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	267,234	0	267,234
RELATED BENEFITS	(41)	92,830	0	92,830
TRAVEL	(12)	19,160	0	19,160
OPERATING SERVICES	(13)	43,084	0	43,084
SUPPLIES	(14)	14,167	0	14,167
PROFESSIONAL SVCS	(15)	14,900	0	14,900
CAPITAL ASSETS	(16)	1,000	0	1,000
ADMINISTRATIVE	(17)	42,976	0	42,976
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		495,351	0	495,351

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

CONTRACT BETWEEN STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS

CFMS: 735268  
DHH: 060730

Office for Citizens with Developmental Disabilities  
EarlySteps, Louisiana's Early Intervention System  
AND

Agency # 340

Southeastern Louisiana Area Health Education Center  
FOR

☐ Personal Services ☐ Professional Services ☐ Consulting Services ☒ Social Services

1) Contractor (Legal Name if Corporation) Southeastern Louisiana Area Health Education Center			5) Federal Employer Tax ID# or Social Security # 72115501400 (Must be 11 Digits)	
2) Street Address 1302 J.W. Davis Drive			6) Parish(es) Served 4, 29, 45, 47, 48, 51, 55	
City Hammond	State LA	Zip Code 70403	7) License or Certification # NA	
3) Telephone Number (985) 345-1119			8) Contractor Status  Subrecipient: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Corporation: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No For Profit: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Publicly Traded: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
4) Mailing Address (if different)				
City	State	Zip Code	8a) CFDA#(Federal Grant #) 84.181A	

9) Brief Description Of Services To Be Provided:  
Contractor will provide System Point of Entry (SPOE) services with the Region 3 parishes for EarlySteps, Louisiana's Early Intervention System and its eligible infants & toddler from birth to three as regulated under Part C of the Individuals with Disabilities Education Improvement Act (IDEA). Contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and supporting the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family . The contractor will maintain electronic and hard copy paper files of the early intervention records. Contractor shall perform work in accordance with Attachment II: Statement of Work.

10) Effective Date 05-01-2015	11) Termination Date 04-30-2018
-------------------------------	---------------------------------

12) This contract may be terminated by either party upon giving thirty (30) days advance written notice to the other party with or without cause but in no case shall continue beyond the specified termination date.

13) Maximum Contract Amount \$ 1,772,477.00	14/15-97,328 15/16-586,904 16/17-592,894 17/18 - 495,351
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14) Terms of Payment  
If progress and/or completion of services are provided to the satisfaction of the initiating Office/Facility, payments are to be made as follows:  
Fiscal will pay invoices within (20) days after receipt.

Travel will be reimbursed in accordance with PPM 49.

Authorization for payment will be made upon submission of deliverables summarized within monthly report and itemized invoices after approval from the Program Manager. Contractor will be paid on a cost reimbursement basis in accordance with attached budget.

Contractor obligated to submit final invoices to Agency within fifteen (15) days after termination of contract.

PAYMENT WILL BE MADE ONLY UPON APPROVAL OF:	First Name Brenda	Last Name Sharp
	Title Program Manager	Phone Number (225) 342-0095

15) Special or Additional Provisions which are incorporated herein, if any (IF NECESSARY, ATTACH SEPARATE SHEET AND REFERENCE):

- Attachment I: HIPAA Addendum  
Attachment II: Statement of Work  
Attachment III Budget  
Attachment IV: Monthly Invoice  
Attachment V: SPOE Monthly Report  
Attachment VI: Order of Precedence
- Exhibit I: Board Resolution  
Exhibit II: Multi Year Letter

**During the performance of this contract, the Contractor hereby agrees to the following terms and conditions:**

1. Contractor hereby agrees to adhere as applicable to the mandates dictated by Titles VI and VII of the Civil Rights Act of 1964, as amended; the Vietnam Era Veterans' Readjustment Assistance Act of 1974; Americans with Disabilities Act of 1990 as amended; the Rehabilitation Act of 1973 as amended; Sec. 202 of Executive Order 11246 as amended, and all applicable requirements imposed by or pursuant to the regulations of the U. S. Department of Health and Human Services. Contractor agrees not to discriminate in the rendering of services to and/or employment of individuals because of race, color, religion, sex, age, national origin, handicap, political beliefs, disabled veteran, veteran status, or any other non-merit factor.
2. Contractor shall abide by the laws and regulations concerning confidentiality which safeguard information and the patient/client confidentiality. Information obtained shall not be used in any manner except as necessary for the proper discharge of Contractor's obligations. (The Contractor shall establish, subject to review and approval of the Department, confidentiality rules and facility access procedures.)
3. The State Legislative Auditor, Office of the Governor, Division of Administration, and Department Auditors or those designated by the Department shall have the option of auditing all accounts pertaining to this contract during the contract and for a three year period following final payment. Contractor grants to the State of Louisiana, through the Office of the Legislative Auditor, Department of Health and Hospitals, and Inspector General's Office, Federal Government and/or other such officially designated body the right to inspect and review all books and records pertaining to services rendered under this contract, and further agrees to guidelines for fiscal administration as may be promulgated by the Department. Records will be made available during normal working hours.

Contractor shall comply with federal and state laws and/or DHH Policy requiring an audit of the Contractor's operation as a whole or of specific program activities. Audit reports shall be sent within thirty (30) days after the completion of the audit, but no later than six (6) months after the end of the audit period. If an audit is performed within the contract period, for any period, four (4) copies of the audit report shall be sent to the Department of Health and Hospitals, Attention: **Division of Fiscal Management, P.O. Box 91117, Baton Rouge, LA 70821-3797** and one (1) copy of the audit shall be sent to the **originating DHH Office**.

4. Contractor agrees to retain all books, records and other documents relevant to the contract and funds expended thereunder for at least four (4) years after final payment or as prescribed in 45 CFR 74.53 (b) whichever is longer. Contractor shall make available to the Department such records within thirty (30) days of the Department's written request and shall deliver such records to the Department's central office in Baton Rouge, Louisiana, all without expense to the Department. Contractor shall allow the Department to inspect, audit or copy records at the contractor's site, without expense to the Department.
5. Contractor shall not assign any interest in this contract and shall not transfer any interest in the same (whether by assignment or novation), without written consent of the Department thereto, provided, however, that claims for money due or to become due to Contractor from the Department under this contract may be assigned to a bank, trust company or other financial institution without advanced approval. Notice of any such assignment or transfer shall be promptly furnished to the Department and the Division of Administration, Office of Contractual Review.
6. Contractor hereby agrees that the responsibility for payment of taxes from the funds received under this contract shall be Contractor's. The contractor assumes responsibility for its personnel providing services hereunder and shall make all deductions for withholding taxes, and contributions for unemployment compensation funds.
7. Contractor shall obtain and maintain during the contract term all necessary insurance including automobile insurance, workers' compensation insurance, and general liability insurance. The required insurances shall protect the Contractor, the Department of Health and Hospitals, and the State of Louisiana from all claims related to Contractor's performance of this contract. Certificates of Insurance shall be filed with the Department for approval. Said policies shall not be canceled, permitted to expire, or be changed without thirty (30) days advance written notice to the Department. Commercial General Liability Insurance shall provide protection during the performance of work covered by the contract from claims or damages for personal injury, including accidental death, as well as claims for property damages, with combined single limits prescribed by the Department.
8. In cases where travel and related expenses are required to be identified separate from the fee for services, such costs shall be in accordance with State Travel Regulations. The contract contains a maximum compensation which shall be inclusive of all charges including fees and travel expenses.
9. No funds provided herein shall be used to urge any elector to vote for or against any candidate or proposition on an election ballot nor shall such funds be used to lobby for or against any proposition or matter having the effect of law being considered by the legislature or any local governing authority. This provision shall not prevent the normal dissemination of factual information relative to a proposition or any election ballot or a proposition or matter having the effect of law being considered by the legislature or any local governing authority. Contracts with individuals shall be exempt from this provision.
10. Should contractor become an employee of the classified or unclassified service of the State of Louisiana during the effective period of the contract, Contractor must notify his/her appointing authority of any existing contract with State of Louisiana and notify the contracting office of any additional state employment. This is applicable only to contracts with individuals.

11. All non-third party software and source code, records, reports, documents and other material delivered or transmitted to Contractor by State shall remain the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract. All non-third party software and source code, records, reports, documents, or other material related to this contract and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract.

12. Contractor shall not enter into any subcontract for work or services contemplated under this contract without obtaining prior written approval of the Department. Any subcontracts approved by the Department shall be subject to conditions and provisions as the Department may deem necessary; provided, however, that notwithstanding the foregoing, unless otherwise provided in this contract, such prior written approval shall not be required for the purchase by the contractor of supplies and services which are incidental but necessary for the performance of the work required under this contract. No subcontract shall relieve the Contractor of the responsibility for the performance of contractual obligations described herein.

13. No person and no entity providing services pursuant to this contract on behalf of contractor or any subcontractor is prohibited from providing such services by the provisions of R.S. 42:1113 as amended in the 2008 Regular Session of the Louisiana Legislature.

14. No claim for services furnished or requested for reimbursement by Contractor, not provided for in this contract, shall be allowed by the Department. In the event the Department determines that certain costs which have been reimbursed to Contractor pursuant to this or previous contracts are not allowable, the Department shall have the right to set off and withhold said amounts from any amount due the Contractor under this contract for costs that are allowable.

15. This contract is subject to and conditioned upon the availability and appropriation of Federal and/or State funds; and no liability or obligation for payment will develop between the parties until the contract has been approved by required authorities of the Department; and, if contract exceeds \$20,000, the Director of the Office of Contractual Review, Division of Administration in accordance with La. R.S. 39:1502..

16. The continuation of this contract is contingent upon the appropriation of funds from the legislature to fulfill the requirements of the contract. If the Legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds are not appropriated.

17. Any alteration, variation, modification, or waiver of provisions of this contract shall be valid only when reduced to writing, as an amendment duly signed, and approved by required authorities of the Department; and, if contract exceeds \$20,000, approved by the Director of the Office of Contractual Review, Division of Administration. Budget revisions approved by both parties in cost reimbursement contracts do not require an amendment if the revision only involves the realignment of monies between originally approved cost categories.

18. Any contract disputes will be interpreted under applicable Louisiana laws and regulations in Louisiana administrative tribunals or district courts as appropriate.

19. Contractor will warrant all materials, products and/or services produced hereunder will not infringe upon or violate any patent, copyright, trade secret, or other proprietary right of any third party. In the event of any such claim by any third party against DHH, the Department shall promptly notify Contractor in writing and Contractor shall defend such claim in DHH's name, but at Contractor's expense and shall indemnify and hold harmless DHH against any loss, expense or liability arising out of such claim, whether or not such claim is successful. This provision is not applicable to contracts with physicians, psychiatrists, psychologists or other allied health providers solely for medical services.

20. Any equipment purchased under this contract remains the property of the Contractor for the period of this contract and future continuing contracts for the provision of the same services. Contractor must submit vendor invoice with reimbursement request. For the purpose of this contract, equipment is defined as any tangible, durable property having a useful life of at least (1) year and acquisition cost of \$1000.00 or more. The contractor has the responsibility to submit to the Contract Monitor an inventory list of DHH equipment items when acquired under the contract and any additions to the listing as they occur. Contractor will submit an updated, complete inventory list on a quarterly basis to the Contract Monitor. Contractor agrees that upon termination of contracted services, the equipment purchased under this contract reverts to the Department. Contractor agrees to deliver any such equipment to the Department within 30 days of termination of services.

21. Contractor agrees to protect, indemnify and hold harmless the State of Louisiana, DHH, from all claims for damages, costs, expenses and attorney fees arising in contract or tort from this contract or from any acts or omissions of Contractor's agents, employees, officers or clients, including premises liability and including any claim based on any theory of strict liability. This provision does not apply to actions or omissions for which LA R.S. 40:1299.39 provides malpractice coverage to the contractor, nor claims related to treatment and performance of evaluations of persons when such persons cause harm to third parties (R.S. 13:5108.1(E)). Further it does not apply to premises liability when the services are being performed on premises owned and operated by DHH.

22. Any provision of this contract is severable if that provision is in violation of the laws of the State of Louisiana or the United States, or becomes inoperative due to changes in State and Federal law, or applicable State or Federal regulations.

23. Contractor agrees that the current contract supersedes all previous contracts, negotiations, and all other communications between the parties with respect to the subject matter of the current contract.

**THIS CONTRACT CONTAINS OR HAS ATTACHED HERETO ALL THE TERMS AND CONDITIONS AGREED UPON BY THE CONTRACTING PARTIES. IN WITNESS THEREOF, THIS CONTRACT IS SIGNED ON THE DATE INDICATED BELOW.**

Southeastern Louisiana Area Health Education Center

STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS

*dated 11, 2015*

SIGNATURE

DATE

Brian P. Jakes, Sr.

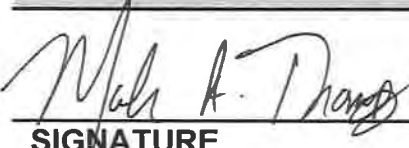
NAME

Chief Executive Officer

TITLE

EarlySteps, Louisiana's Early Intervention System

Office for Citizens with Developmental Disabilities

*5-15-15*

SIGNATURE

DATE

Brenda Sharp

NAME

Program Manager

TITLE

SIGNATURE

DATE

Mark A. Thomas

NAME

Assistant Secretary

TITLE





**Office of State Procurement  
PROACT Contract Certification of Approval**

**This certificate serves as confirmation that the Office of State Procurement has reviewed and approved the contract referenced below.**

**Reference Number:** 735268

**Vendor:** Southeastern Louisiana Area Health Education Center

**Description:** 735268 - Contractor will provide System Point of Entry (SPOE) Reg 3.

**Approved By:** Pamela Rice

**Approval Date:** 7/01/2015

The above referenced number has been assigned by this office and will be used as identification for the approved contract. Please use this number when referring to the contract in any future correspondence or amendment(s).

The Internal Revenue Service (IRS) may find that this contract creates an employment relationship between your agency and the contractor. You should be advised that your agency is responsible for all taxes and penalties if such a finding is forthcoming. It is incumbent upon your agency to determine if an employee/employer relationship exists. Your agency must make the appropriate withholdings in accordance with law and IRS regulations, if applicable.

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## HIPAA Business Associate Addendum

This HIPAA Business Associate Addendum is hereby made a part of this contract in its entirety as Attachment \_\_\_\_\_ to the contract.

1. The Louisiana Department of Health and Hospitals ("DHH") is a Covered Entity, as that term is defined herein, because it functions as a health plan and as a health care provider that transmits health information in electronic form.
2. Contractor is a Business Associate of DHH, as that term is defined herein, because contractor either: (a) creates, receives, maintains, or transmits PHI for or on behalf of DHH; or (b) provides legal, actuarial, accounting, consulting, data aggregation, management, administrative, accreditation, or financial services for DHH involving the disclosure of PHI.
3. Definitions: As used in this addendum –
  - A. The term "HIPAA Rules" refers to the federal regulations known as the HIPAA Privacy, Security, Enforcement, and Breach Notification Rules, found at 45 C.F.R. Parts 160 and 164, which were originally promulgated by the U. S. Department of Health and Human Services (DHHS) pursuant to the Health Insurance Portability and Accountability Act ("HIPAA") of 1996 and were subsequently amended pursuant to the Health Information Technology for Economic and Clinical Health ("HITECH") Act of the American Recovery and Reinvestment Act of 2009.
  - B. The terms "Business Associate", "Covered Entity", "disclosure", "electronic protected health information" ("electronic PHI"), "health care provider", "health information", "health plan", "protected health information" ("PHI"), "subcontractor", and "use" have the same meaning as set forth in 45 C.F.R. § 160.103.
  - C. The term "security incident" has the same meaning as set forth in 45 C.F.R. § 164.304.
  - D. The terms "breach" and "unsecured protected health information" ("unsecured PHI") have the same meaning as set forth in 45 C.F.R. § 164.402.
4. Contractor and its agents, employees and subcontractors shall comply with all applicable requirements of the HIPAA Rules and shall maintain the confidentiality of all PHI obtained by them pursuant to this contract and addendum as required by the HIPAA Rules and by this contract and addendum.
5. Contractor shall use or disclose PHI solely: (a) for meeting its obligations under the contract; or (b) as required by law, rule or regulation (including the HIPAA Rules) or as otherwise required or permitted by this contract and addendum.
6. Contractor shall implement and utilize all appropriate safeguards to prevent any use or disclosure of PHI not required or permitted by this contract and addendum, including administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the electronic protected health information that it creates, receives, maintains, or transmits on behalf of DHH.
7. In accordance with 45 C.F.R. § 164.502(e)(1)(ii) and (if applicable) § 164.308(b)(2), contractor shall ensure that any agents, employees, subcontractors or others that create, receive, maintain, or transmit PHI on behalf of contractor agree to the same restrictions, conditions and requirements that apply to contractor with respect to such information, and it shall ensure that they implement reasonable and appropriate safeguards to protect such information. Contractor shall take all reasonable steps to ensure that its agents', employees' or subcontractors' actions or omissions do not cause contractor to violate this contract and addendum.
8. Contractor shall, within three (3) days of becoming aware of any use or disclosure of PHI, other than as permitted by this contract and addendum, report such disclosure in writing to the person(s) named in section 14 (Terms of Payment), page 1 of the CF-1. Disclosures which must be reported by contractor include, but are not limited to, any security incident, any breach of unsecured PHI, and any "breach of the security system" as defined in the Louisiana Database Security Breach Notification Law, La.R.S. 51:3071 *et seq.* At the option of DHH, any harm or damage resulting from any use or disclosure which violates this contract and addendum shall be mitigated, to the extent practicable, either: (a) by contractor at its own expense; or (b) by DHH, in which case contractor shall reimburse DHH for all expenses that DHH is required to incur in undertaking such mitigation activities.
9. To the extent that contractor is to carry out one or more of DHH's obligations under 45 C.F.R. Part 164, Subpart E, contractor shall comply with the requirements of Subpart E that apply to DHH in the performance of such obligation(s).
10. Contractor shall make available such information in its possession which is required for DHH to provide an accounting of disclosures in accordance with 45 CFR § 164.528. In the event that a request for accounting is made directly to contractor, contractor shall forward such request to DHH within two (2) days of such receipt. Contractor shall implement an appropriate record keeping process to enable it to comply with the requirements of this provision. Contractor shall maintain data on all disclosures of PHI for which accounting is required by 45 CFR § 164.528 for at least six (6) years after the date of the last such disclosure.
11. Contractor shall make PHI available to DHH upon request in accordance with 45 CFR § 164.524.
12. Contractor shall make PHI available to DHH upon request for amendment and shall incorporate any amendments to PHI in accordance with 45 CFR § 164.526.
13. Contractor shall make its internal practices, books, and records relating to the use and disclosure of PHI received from or created or received by contractor on behalf of DHH available to the Secretary of the U. S. DHHS for purposes of determining DHH's compliance with the HIPAA Rules.
14. Contractor shall indemnify and hold DHH harmless from and against any and all liabilities, claims for damages, costs, expenses and attorneys' fees resulting from any violation of this addendum by contractor or by its agents, employees or subcontractors, without regard to any limitation or exclusion of damages provision otherwise set forth in the contract.
15. The parties agree that the legal relationship between DHH and contractor is strictly an independent contractor relationship. Nothing in this contract and addendum shall be deemed to create a joint venture, agency, partnership, or employer-employee relationship between DHH and contractor.
16. Notwithstanding any other provision of the contract, DHH shall have the right to terminate the contract immediately if DHH determines that contractor has violated any provision of the HIPAA Rules or any material term of this addendum.
17. At the termination of the contract, or upon request of DHH, whichever occurs first, contractor shall return or destroy (at the option of DHH) all PHI received or created by contractor that contractor still maintains in any form and retain no copies of such information; or if such return or destruction is not feasible, contractor shall extend the confidentiality protections of the contract to the information and limit further uses and disclosure to those purposes that make the return or destruction of the information infeasible.

## ATTACHMENT II

### Statement of Work

#### **GOAL/PURPOSE**

The contractor will provide System Point of Entry services to infants and toddlers (birth to three years old) who have developmental delays or diagnosed medical conditions likely to result in developmental delays in accordance with the Individuals with Disabilities Education Improvement Act (IDEA). The contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family in EarlySteps, Louisiana's IDEA Part C system.

#### **Deliverable 1**

The contractor shall provide qualified and trained Intake Support Coordinators to provide the required services outlined below and to function as the EarlySteps initial point of contact for the designated region.

**Deliverable 1.1:** Contractor will receive referrals from a parent, family member, physician, teacher, service providers, agencies, etc. Contractor will respond to each referral within specified timelines, and the following services will be offered: intake coordination via face-to-face interview and/or telephone contact, screening of the child, review of referral information and concerns, access of other health or evaluation information. The contractor must conduct the face-to-face interview with the family in their natural environment unless otherwise arranged with the family and with documentation that supports the family's decision.

**Deliverable 1.2:** Contractor will ensure that completion of the initial face-to-face interview with the family will include providing the following information: introduction of the family to the EarlySteps system and providing to the family, in the family's primary language or other mode of communication (including in writing), their procedural safeguards and their right to due process under IDEA-Part C in 34 CFR 303.400-438 related to intake and eligibility procedures.

**Deliverable 1.3:** Contractor will receive informed written consent from the parent/legal guardian to participate in the EarlySteps system in order to proceed with the intake process, eligibility process, accessing of information requests and initial IFSP development.

**Deliverable 1.4:** Contractor will request and document receipt of information from appropriate health, medical, educational, and other community services providers with parental consent.

**Outcome 1.5:** Contractor will complete the family interview and developmental screening of each referred child using the Ages and Stages Questionnaire or other tool approved by EarlySteps for children referred for developmental delay.

**Deliverable 1.6:** Contractor will ensure receipt of all relevant information from the family to complete intake process including: Medicaid eligibility verification, insurance and income verification and eligibility for and referral to other community programs/services.

- The SPOE shall verify Medicaid eligibility according to the requirements specified in Chapter 4 of the Practice Manual located at <http://www.earlysteps.dhh.louisiana.gov>.

**Deliverable 1.7:** Contractor will conduct a determination of need coordinated with the EarlySteps central and regional office staff, to access the surrogate parent system. The contractor's role shall include: Submitting any such names and addresses to OCDD for appropriate surrogate parent action, using the state-developed form; assisting OCDD in recruiting surrogate parent volunteers; assisting OCDD with local surrogate parent training if necessary; reviewing the child's situation in regards to whether a parent or guardian is present; and determining if a referred child would benefit from a surrogate parent. Within ten (10) business days of the child's initial referral to the contractor, the contractor must complete and return to OCDD the designated form for each child believed to be eligible to receive a surrogate appointment based on the criteria set forth under 34 CFR 303.406. OCDD shall appoint a surrogate parent and inform the contractor of the appointment.

**Deliverable 1.8:** Contractor will send an acknowledgement of receipt of referral form to referral sources using a standard acknowledgement letter provided by EarlySteps.

**Deliverable 1.9:** Contractor will send certified letters to families when contact attempts fail.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of referrals processed within 3 business days.
- Documentation of percentage of face-to-face interviews with families within 10 business days.
- Documentation of percentage of referral acknowledgements sent within 5 business days.

## ATTACHMENT II

### Statement of Work

- Documentation of percentage of certified letters sent to families after 3 documented contact attempts.
- Reports reflect accuracy of chart data within acceptable parameters as determined in monitoring activities.
- Documentation that parent CQI survey results shall be conducted by the contractor and consistent with targets set for the Louisiana Annual Performance Report (APR) for Indicator 4 for appropriate SPOE region. The APR is posted on the EarlySteps website.

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports
- Review results of parent survey data
- Review chart for required activity documentation

#### **Deliverable 2: Conduct Eligibility Determination Process**

The contractor shall coordinate eligibility determination for each child who enters the process following screening, arrange for the eligibility evaluator, early intervention consultant, family, and other multidisciplinary team members as appropriate, and facilitate the eligibility and/or IFSP team meetings. (Approximately 5,100 eligibility evaluations were coordinated by the SPOEs in 2012-13).

Deliverable 2.1: Contractor will collect relevant assessments and evaluations shall be collected from other sources including the referral source.

Deliverable 2.2: Contractor will assemble appropriate multidisciplinary team to review the referral information and previous assessment/medical information and to participate in the eligibility determination process in accordance with IDEA Part C regulations and EarlySteps policies. This team shall be an in-house multidisciplinary team with experience with evaluating infants and toddlers with disabilities, including the early intervention consultant, and/or shall be selected from the EarlySteps-enrolled early intervention evaluation providers. Payment for the EarlySteps-enrolled evaluators will be billed by them separately according to current EarlySteps process, not through the SPOE contractor.

Deliverable 2.3: Contractor will complete the determination of eligibility as required under IDEA Part C IDEA and state and federal regulations, the EarlySteps Practice Manual and the training modules: Making Informed Decisions, Battelle Developmental-2 Inventory and the Autism Screening module. Autism screening shall be conducted with children 18 months of age and annually thereafter.

Deliverable 2.4: Contractor will conduct referrals to community supports and resources and other services, including referral for EPSDT case management for children not eligible for EarlySteps.

#### **Performance Measures**

Contractor shall provide or maintain:

- The contractor shall meet the timelines specified in the RFP. EIDS captures the data based on SPOE performance. Reports shall be generated based on these activities. In addition the SPOE shall submit a monthly performance report which is included as Attachment XI. Accurate completion of data entry results shall be in successfully issued authorizations.
- Documentation of percentage of children processed from referral to initial IFSP within 45 calendar days, consistent with targets for APR and regional targets as specified in Attachment VIII
- Documentation of parent CQI survey results shall be consistent with targets set in Louisiana APR Indicator 4
- Documentation of identification of children shall be referred to EPSDT by the Bureau of Health Services Financing contractor
- Documentation of the number of eligibility evaluations completed by the multidisciplinary eligibility team

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports and self-assessments
- Review of the results of parent survey data.
- Review of chart for required documentation

## ATTACHMENT II

### Statement of Work

#### **Deliverable 3: Assess family concerns, priorities, and resources and develop initial Individualized Family Service Plan (IFSP)**

The contractor will coordinate the results of the evaluation and assessment process including the family-directed assessment, information collected during the intake process, results of the evaluation and assessment data, using a team-based model, which supports decision-making necessary to develop the IFSP as specified below:

**Deliverable 3.1:** Contractor will ensure that family concerns, priorities and resources are accurately reflected in the IFSP following an assessment conducted as part of the eligibility determination process for families of eligible children.

**Deliverable 3.2:** Contractor will ensure that the family chooses a Family Service Coordinator and Providers from the Service Matrix.

**Deliverable 3.3:** Contractor will ensure that an IFSP team is assembled that consist of the following members:

- Parent(s) of the child
- Other family members, requested by the parent(s)
- An advocate or other person(s) requested by the family,
- The Family Service Coordinator selected by the family at the time of the initial referral, as defined under 34 CFR 303.34 that has been designated responsible for the implementation of the IFSP.
- Person(s) involved in conducting the evaluations and assessments, in-person or through other means, such as participation by telephone conference call or through pertinent records that are available at the meeting. A knowledgeable authorized representative may also attend the meeting as a substitute for the person unable to attend [34 CFR 303.343 (a) (v)], and
- Service providers [34 CFR 303.343 (a) (vi)] as appropriate.

**Deliverable 3.4:** Contractor will complete the initial IFSP within 45 calendar days of referral that identify child and family priorities according to IFSP requirements.

**Deliverable 3.5:** Contractor will complete referrals and transition activities for children referred to the OCDD and the local education agency (LEA) prior to the child's 3rd birthday according to EarlySteps and OCDD policy. Referrals to other resource agencies, such as Families Helping Families, Child Care Resource and Referral Agencies, Head Start and Early Head Start, etc., identified during intake process shall be made.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of completion of activities associated with referral, eligibility determination, and initial IFSP within 45calendar days.
- Documentation that IFSPs are complete and accurately identify child and family outcomes from assessment process
- Documentation of average costs of services within service guidelines  
EarlySteps utilizes Service Guidelines called IFSP Team services process found in Chapter 6 of the Practice Manual which outlines a process based upon 24 hours of services in 6 months. These are the service guidelines referred to in the RFP from which average per child costs can be determined. Average per child costs are typically \$2100 per child for service costs only. Variations from this guideline are allowable according to the defined process. SPOEs shall follow the guidelines in the development of the initial IFSP so that cost effectiveness is demonstrated.
- Documentation of percentage of IFSPs completed which meet targets for Louisiana APR indicators 1, 2, 7, and 8

#### **Monitoring Plan**

The contract monitor will:

- Review of chart for hard copy of IFSP, transition meeting and documentation of referrals sent to OCDD and the LEA
- Review of EIDS data is within established parameters for region according to quarterly EIDS reports
- Review of Corrective Action Plans developed and timely correction of any targets not met
- Review of monthly report submitted to regional and central office staff. Attachment XI of the RFP outlines the data that EarlySteps requires for monthly reporting by the SPOE.
- Review evidence of team process in IFSP development according to signatures of participating members.

## ATTACHMENT II

### Statement of Work

**Deliverable 4: Provide administrative functions related to collecting family financial information, issuing service authorizations and data entry for the Central Finance Office (CFO).**

The contractor will perform activities which support timely service delivery for enrolled infants and toddlers and accurate, timely data reporting as specified below:

**Deliverable 4.1:** Contractor will submit Service authorizations to the CFO within 2 business days of the initial IFSP meeting.

**Deliverable 4.2:** Contractor will ensure that subsequent service authorizations are received from and processed for the FSC and service providers within 3 days following an IFSP review /revision.

**Deliverable 4.3:** Contractor will ensure that each child's Master record is maintained as specified below.

**Deliverable 4.4:** Contractor will ensure that data uploads to CFO are conducted according to the established schedule.

**Deliverable 4.5:** Contractor will ensure that Family income information is collected during the intake process for entry into EIDS and issuance of the Family Cost Participation Notice Statement. Ongoing financial data entry will occur annually as well.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of IFSPs completed which shall meet targets for Louisiana APR Indicators 1, 2, 7, and 8
- Documentation of IFSP services fully authorized for initial service provision shall occur within 30 days of parent consent. Service providers shall be able to provide timely services following access to service authorizations
- Documentation of Family Cost Share shall be accurately calculated requiring a minimum of system adjustments following entry

#### **Monitoring Plan**

The contract monitor will:

- Review chart for master copy of IFSP and other documentation for child master record
- Review provider billing processed by CFO and Medicaid
- Review EIDS data within state-established parameters

#### **Deliverable 5: Establish and Maintain Record Keeping System according to Federal and State Requirements**

The contractor shall establish and maintain records for each child as well as in support of business operations as specified below:

**Deliverable 5.1:** Contractor will maintain all early intervention records shall be maintained in accordance with the applicable regulations under IDEA, Family Education Rights and Privacy Act (FERPA) and Education Department General Accounting Rules (EDGAR), including hard copy paper file and electronic file record, as described below, regardless of the outcome of the intake process (i.e. eligible or not, accept or decline services, etc.).

**Deliverable 5.2:** Contractor will use the Early Intervention data system software (EIDS) operated by the CFO contractor for accurate data entry as the link between the contractor's records and the EIDS. EIDS is provided at no cost to the contractor.

**Deliverable 5.3:** Contractor will obtain all notices of actions and consents; family support coordination documentation including meeting notifications, IFSP reviews/evaluations, new IFSPs, correspondence, family income information, and releases in the hard copy file record in the format required shall be maintained.

**Deliverable 5.4:** Contractor will utilize required EarlySteps forms for record keeping according to the instructions provided in the EarlySteps Practice Manual.

**Deliverable 5.5:** Contractor will ensure data entry in EIDS is accurate such that OCDD is able to:

- Identify gaps in the local service delivery system and the need for resource development, personnel recruitment, etc.;



## ATTACHMENT II

### Statement of Work

- Conduct financial forecasting, fund acquisition, and other reporting functions accurately
- Verify required system components (e.g. IFSP, releases, consents, etc.) are completed according to state and federal regulations.
- Submit eligibility verification and prior authorization data to Molina the fiscal intermediary for the Bureau of Health Services Financing.

**Deliverable 5.6:** Contractor will ensure all child and family information, medical records, and data elements collected, maintained or used in the administration of the contract from unauthorized disclosure as set forth under 34 CFR 303.406 shall be protected according to:

- Safeguards that restrict the use or disclosure of information concerning children and families to purposes directly connected with the administration of the contract.
- Records, reports, documentation, data, and material developed or acquired by the contractor, as a direct requirement specified in the contract shall become the property of the State of Louisiana.
- Information gained by the contractor as a result of the activities conducted under the contract shall be confidential, and no reports, documentation, or material prepared as required by or obtained through the contract shall be released to the public without the prior written consent of OCDD and must include the identification of EarlySteps, OCDD and the State of Louisiana.
- Signatures obtained from all employees or subcontractors of the contractor agreeing to the confidentiality provisions of the contract as required by the OCDD.

**Deliverable 5.7:** Contractor will maintain financial, time, and accounting records and evidence pertaining to the contract in accordance with generally accepted accounting principles and other procedures as specified by DHH/OCDD. These records must be made available to DHH/OCDD, and/or its designees, and the legislative auditor during the contract period, any renewal period, and for the period of time specified below for retention of records.

**Deliverable 5.8:** Contractor will securely store books, records, evidence, and other documents relevant to the contract for a period of four (4) years after final payment and the completion of an audit (if an audit is performed). Any records or documents involved in, related to, or required for any litigation, claim, negotiation, audit, or other such action must be retained until the resolution of the action, or until four years have passed after final payment and completion of any required audit, whichever is later. The contractor shall allow authorized representatives of the State of Louisiana agencies and the federal government to inspect these records upon request.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of records is complete, accurate and meets Federal and State Requirements.
- Evidence that hard copy documentation shall be consistent with EIDS data.
- Documentation of records are maintained according to the required timelines

#### **Monitoring Plan**

The contract monitor will:

- Review charts
- Conduct agency Audits
- Review Data Report

#### **Deliverable 6: Hire and Train staff to meet functions of SPOE office (see Attachment VI for Job Descriptions)**

The Contractor will conduct activities which meet personnel requirements and needs of the region as specified below. Key personnel commitments made in the contract shall only be changed with prior written approval of DHH/OCDD. The contractor shall be responsible for the training and education of new personnel at the contractor's expense. DHH/OCDD shall not be liable for any cost related to the training or education of new or substitute staff.

**Deliverable 6.1:** Contractor will hire personnel who will demonstrate effective service provision as required in the contract and meet qualifications specified.

**Deliverable 6.2:** Contractor will hire appropriate number of staff necessary to provide all required services.

**Deliverable 6.3:** Contractor will hire staff members that meet specified qualifications.

**Deliverable 6.4:** Contractor will provide additional necessary support (such as data support) to assist the Intake Service Coordinators in providing the services required herein.

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### Statement of Work

**Deliverable 6.5:** Contractor and/or sub-contractor will, if requested by DHH, provide all necessary authorizations for the background checks for all personnel. The contractor must arrange for background checks for required staff according to requirements of the Department of Children and Family Services. This requirement states that an employee or subcontractor of the contractor must pass a background check prior to employment and or initiation of a contract and every three years thereafter or according to the requirements of RS 49:950 et seq. (The State reserves the right to conduct a background check on any contractor or sub-contractor personnel).

#### Performance Measures

Contractor shall provide or maintain:

- Supporting documentation that all staff meets specified qualifications.
- Documentation of adequate staffing of program results in timeline requirements being met according to APR Indicators 1, 7, and 8.

#### Monitoring Plan

The contract monitor will:

- Review Charts -Personnel files
- Review EIDS reports
- Review Staff Training Records
- Review documentation of Verification of Background Checks

**Deliverable 7: Ensure that all licensing and training requirements are met according to the *Case Management Services Provider Manual*, reissued 7/01/2002.**

The contractor will arrange and/or provide case management training and EarlySteps training as specified below:

**Deliverable 7.1:** Contract will ensure that each Intake Service Coordinator and Intake Service Coordinator/Early Intervention Consultant-Supervisor complete required licensing and EarlySteps training as specified below and participate in any required meetings. In addition, the intake service coordinators must adhere to the requirements of the EarlySteps Practice Manual.

EarlySteps Training Requirements shall include the following:

- Module 1: Orientation—EarlySteps: A New Look
- Module 2: Evaluation and Assessment—Making Informed Decisions on-line module and with a face-to-face component (when available) through EarlySteps
- Module 3: Spectrum of Child Development
- Module 4: Family-Centered Practices
- Module 5: Introduction to Teaming Practices
- Module 6: Introduction to the Individualized Family Services Plan on-line and Individualized Family Service Plan Process-a face-to-face component, when available.
- Module 7: Concerns, Priorities and Resource Process, a face-to-face training activity, when available
- Module 8: Talking to Families about their Rights, an online module
- Face-to-Face Orientation to EarlySteps by Regional Coordinator
- Technical Assistance provided at a minimum of 1 hour per month with the Regional Coordinator in region served; meetings may increase based on the SPOE needs. All SPOE staff will be required to attend scheduled meetings.
- SPOE software training
- Additional training as required by DHH/OCDD

**Additional Case Management Licensing Training Requirements:**

Orientation- at least sixteen (16) hours must be provided to all staff, volunteers, and students within five (5) working days of employment. A minimum of eight (8) hours of the orientation training must cover orientation to early intervention including, but not limited to, specific service needs and resources. This orientation must include, at a minimum:

- Case Management Provider policies and procedures.
- Medicaid and other applicable DHH policies and procedures.
- Confidentiality.
- Documentation in case records.
- Parents' Rights under IDEA Part C.
- Recipient rights protection and reporting of violations.
- Recipient abuse and neglect reporting policies and procedures.
- Recognizing and defining abuse and neglect.
- Emergency and safety procedures.

## ATTACHMENT II

### Statement of Work

- Data management and record keeping.
- Infection control and universal precautions.
- Working with the early intervention population.
- Professional ethics.
- Outcome measures.

Deliverable 7.2: Contractor will ensure that in addition to the required sixteen (16) hours of orientation, all new employees without documented training must receive an additional minimum sixteen (16) hours of training during the first ninety (90) calendar days of employment. This training must be related to the population of infants and toddlers with disabilities to be served, must include specific knowledge, skills, and techniques, and must include the training modules listed above.

Deliverable 7.3: Contractor will ensure that an individual with demonstrated knowledge of both the training topics and the target population provide this training. This training must include the following at a minimum:

- Assessment techniques.
- Support and service planning.
- Support and service planning for children with complex medical needs
- Resource identification.
- Interviewing and interpersonal skills.
- Data management and record keeping.
- Communication skills
- Cultural awareness.
- Personal outcome measures.

Deliverable 7.4: Contract will ensure that new employees do not assume service coordinator responsibility until the orientation is satisfactorily completed. This additional training may be counted as part of the required 40 annual hours. The following is a list of suggested additional topics for training:

- Nature of illness or disability, including symptoms and behavior.
- Pharmacology.
- Potential array of services for the population.
- Building natural support system.
- Family dynamics.
- Developmental life stages.
- First aid/CPR.
- Signs and symptoms of mental illness, alcohol, and drug addiction, mental retardation/developmental disabilities and head injuries.
- Monitoring techniques.
- Advocacy.
- Behavior management techniques.
- Values clarification/goals and objectives.
- Available community resources.
- Cultural diversity.
- Health management.
- Team building/interagency collaboration.
- Transition/closure.
- Facilitating team meetings.
- Stress and time management.
- Legal issues.
- Outcome measures.

Deliverable 7.5: Contractor will ensure that individuals who supervise Intake Service Coordinators complete a minimum of 40 hours of training a year. Suggested topics for supervisory training include:

- Professional ethics
- Process for interviewing, screening, and hiring staff
- Orientation/in service training of staff
- Evaluating staff
  - Approaches to supervision
  - Managing caseload size
  - Conflict resolution
  - Documentation
  - Time management

## ATTACHMENT II

### Statement of Work

The contractor shall print EarlySteps Practice Manual and any updates and shall make them available to all of the contractor's staff. Verification of training on the program practice manual shall be documented by the contractor. The manual is available on the website at <http://www.earlysteps.dhh.louisiana.gov/>.

#### Performance Measures

Contractor shall provide or maintain:

- Documentation of personnel records that include - Time, date, trainer, trainer's qualifications and agenda signed by supervisor, documentation of training provided by outside entities or organizations to include certificate of attendance signed by trainer or training organizations.

#### Monitoring Plan

The contract monitor will:

- Review Personnel File
- Review attendance records
- Review Training and Supervision Logs

#### Deliverable 8: Ensure quality of data reporting and quality assurance

The contractor will develop and implement quality management strategies which assure quality of contractor and EarlySteps system implementation and accuracy of data entry and reporting as follows:

Deliverable 8.1: Contractor will develop written procedures for performance of the services, as required herein, within 90 calendar days of the initiation of the contract which reflect provisions of the EarlySteps system in a prompt, professional, family-centered, equitable, consistent, and culturally competent manner that ensures:

- Each referred child shall be guaranteed equal and timely access to the services available through the EarlySteps system or referred to other appropriate services, regardless of the nature of the child's disability or the degree of disability, family educational/socioeconomic status, primary language or geographic location.
- Families shall receive accurate and timely information, knowledge of choices or options available, and shall be given an explanation of their rights, opportunities and responsibilities under both Part C federal law and state law.
- Collaborative relationships with referring agencies, providers and other community agencies are developed which support the EarlySteps team-based service delivery model.
- Access for children and their families to systems and services that will assist in meeting their needs including those related to the child's developmental concerns as well as enhancing the family's capacity in meeting the needs of their child.
- Confidentiality of data, including medical records, payment information, child and family information, and early intervention service records shall be maintained
- Data shall be entered accurately and in a timely manner
- A written plan for conducting a self-evaluation and report findings to OCDD shall be developed and implemented by the Contractor throughout the Contractor's organization.
- A written approved Quality Enhancement Plan that engages in learning or collecting performance information to determine how well they are meeting the Contractor's goals; responding or acting in ways to improve performance, implementing or activating a plan that has well defined goals and objectives, and evaluating and monitoring the implementation of the quality project

Deliverable 8.2: Contractor will ensure that data management results in accurate data reporting which meets state and federal requirements such that:

- Procedures which ensure confidentiality of all contents including medical records, payment information, child and family information, and early intervention service records shall be implemented.
- Reporting requirement established by OCDD including monthly reports, corrective action plans, self-assessments and Individual Family Service Plans (IFSPs) shall be met.
- Procedures shall ensure timely, accurate input of data into EIDS.

#### Performance Measures

Contractor shall provide or maintain:

Documentation of policy manual development within 90 days of contract initiation which shall include, but shall not be limited to, the following:

- Anti-discrimination
- Evaluations
- Promotion

## ATTACHMENT II

### Statement of Work

- Disciplinary actions
- Termination
- Employee grievances
- Continuous quality management
- Training requirements

A written Quality Enhancement Plan must be developed within 90 days of contract initiation and approved by OCDD which shall include:

- Contractor's vision and mission
- Establishing a Quality Council
- Establishing an Organizational Infrastructure to Support Quality QM Policy and procedures
- Evaluating Fidelity of Implementation of the Contractor's plan and updates
- Quality management committee which includes stakeholders
- Data collection and analysis
- Procedures for conducting self-evaluation and other quality enhancements and procedures to report findings to OCDD according to established guidelines
- Training
- Procedures for determination of consumer satisfaction and means to address concerns identified

#### **Monitoring Plan**

The contract monitor will:

- Review policy manuals and quality assurance guidelines
- Review data reporting to ensure it meets schedules and results within expected parameters

DHH Contract Budget Detail

Attachment III

FY 14/15

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	32.91	115	3,785	100	0	3,785
Intake Coordinator Supervisor	26.49	346	9,166	100	0	9,166
Intake Coordinator	18.3	346	6,332	100	0	6,332
Intake Coordinator	16.86	346	5,834	100	0	5,834
Intake Coordinator	16.86	346	5,834	100	0	5,834
Intake Coordinator	16.86	346	5,834	100	0	5,834
Intake Coordinator	16.86	346	5,834	100	0	5,834
Intake Coordinator	16.86	346	5,834	100	0	5,834
Admin. clerk/Data Manager	14.44	346	4,996	100	0	4,996
Total			53,449		0	53,449

Justification

Personnel Cost for Region 3. Program Director is approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA/Med	4,078	100	0	4,078
Health Insurance	8,466	100	0	8,466
Dental Insurance	652	100	0	652
Life Insurance	720	100	0	720
Mutual of America (retirement)	3,732	100	0	3,732
			0	0
			0	0
			0	0
Total	17,648		0	17,648

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 33.018% related benefits.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Intake Coordinator Supervisor	479	100	0	479
EI Consultant	479	100	0	479
Intake Coordinator	479	100	0	479
Intake Coordinator	479	100	0	479
Intake Coordinator	479	100	0	479
Intake Coordinator	479	100	0	479
Intake Coordinator	479	100	0	479
Intake Coordinator	479	100	0	479
			0	0
Total	3,832		0	3,832

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore eight staff will travel to 7 parishes in Region 3.



<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$1600 x 2)	3,200	100	0	3,200
Utilities (\$291.66 x 2)	583	100	0	583
Telephone/Cell phone (\$1100 x 2)	2,200	100	0	2,200
Maintenance of Equipment (\$419.50 x 2)	839	100	0	839
IT/IT Audit (\$500 x 2)	1,000	100	0	1,000
Liability Insurance (\$200 x 2)	400	100	0	400
Workers Compensation (\$100 x 2)	200	100	0	200
Unemployment Insurance (\$100 x 2)	200	100	0	200
			0	0
<b>Total</b>	<b>8,622</b>		<b>0</b>	<b>8,622</b>

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Paper, pens, file folders, etc (\$1416.66 x 2)	2,833	100	0	2,833
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>2,833</b>		<b>0</b>	<b>2,833</b>

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
EI Consultant (\$1249.99 x 2)	2,500	100	0	2,500
		100	0	0
		0	0	0
			0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>2,500</b>		<b>0</b>	<b>2,500</b>

Justification

Audit services yearly. EI consultant contracted to meet contract requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		100	0	0
			0	0
			0	0
			0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. Cost	8,444	100	0	8,444
			0	0
			0	0
			0	0
			0	0
			0	0
Total	8,444		0	8,444

Justification

9.5% indirect and admin. cost.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
Total		0		0	0

Justification



DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Southeastern Louisiana AHEC - Region 3 FROM: 5/01/2015 TO: 6/30/2015

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	53,449	0	53,449
RELATED BENEFITS	(41)	17,648	0	17,648
TRAVEL	(12)	3,832	0	3,832
OPERATING SERVICES	(13)	8,622	0	8,622
SUPPLIES	(14)	2,833	0	2,833
PROFESSIONAL SVCS	(15)	2,500	0	2,500
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	8,444	0	8,444
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		97,328	0	97,328

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment III  
FY 15/16

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	31.74	693	21,996	100	0	21,996
Intake Coordinator Supervisor	26.44	2,080	54,995	100	0	54,995
Intake Coordinator	18.27	2,080	38,002	100	0	38,002
Intake Coordinator	16.83	2,080	35,006	100	0	35,006
Intake Coordinator	16.83	2,080	35,006	100	0	35,006
Intake Coordinator	16.83	2,080	35,006	100	0	35,006
Intake Coordinator	16.82	2,080	34,986	100	0	34,986
Intake Coordinator	16.83	2,080	35,006	100	0	35,006
Admin. clerk/Data Manager	14.41	2,080	29,973	100	0	29,973
Total			319,976		0	319,976

Justification

Personnel Cost for Region 3. Program Director is approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA/Med	24,478	100	0	24,478
Health Insurance	50,800	100	0	50,800
Dental Insurance	3,913	100	0	3,913
Life Insurance	4,320	100	0	4,320
Mutual of America (retirement)	22,398	100	0	22,398
			0	0
			0	0
			0	0
Total	105,909		0	105,909

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 33.099% related benefits.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Intake Coordinator Supervisor	2,875	100	0	2,875
EI Consultant	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
Total	23,000		0	23,000

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore eight staff will travel to 7 parishes in Region 3.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$1600 x 12)	19,200	100	0	19,200
Utilities (\$291.66 x 12)	3,500	100	0	3,500
Telephone/Cell phone (\$1100 x 12)	13,200	100	0	13,200
Maintenance of Equipment (\$416.66 x 12)	5,000	100	0	5,000
IT/IT Audit (\$500 x 12)	6,000	100	0	6,000
Liability Insurance (\$200 x 12)	2,400	100	0	2,400
Workers Compensation (\$100 x 12)	1,200	100	0	1,200
Unemployment Insurance (\$100 x 12)	1,200	100	0	1,200
			0	0
<b>Total</b>	<b>51,700</b>		<b>0</b>	<b>51,700</b>

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Paper, pens, file folders, etc (\$1416.66 x 12)	17,000	100	0	17,000
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>17,000</b>		<b>0</b>	<b>17,000</b>

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
EI Consultant (\$1249.99 x 12)	15,000	100	0	15,000
Audit (\$200 x 12)	2,400	100	0	2,400
		0	0	0
			0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>17,400</b>		<b>0</b>	<b>17,400</b>

Justification

Audit services yearly. EI consultant contracted to meet contract requirements.



(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Laptops (\$1000 x 1)	1,000	100	0	1,000
			0	0
			0	0
			0	0
			0	0
Total	1,000		0	1,000

Justification

Replacement of computers on rotating basis. Computer life 3 to 4 years.

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. Cost	50,919	100	0	50,919
			0	0
			0	0
			0	0
			0	0
			0	0
Total	50,919		0	50,919

Justification

9.5% indirect and admin. cost.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
Total		0		0	0

Justification



**DHH CONTRACT BUDGET**  
**SUMMARY BUDGET FOR THIS PERIOD**

**Attachment**

**CONTRACTOR:** Southeastern Louisiana AHEC - Region 3      **FROM:** 7/01/2015      **TO:** 6/30/2016

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	319,976	0	319,976
RELATED BENEFITS	(41)	105,909	0	105,909
TRAVEL	(12)	23,000	0	23,000
OPERATING SERVICES	(13)	51,700	0	51,700
SUPPLIES	(14)	17,000	0	17,000
PROFESSIONAL SVCS	(15)	17,400	0	17,400
CAPITAL ASSETS	(16)	1,000	0	1,000
ADMINISTRATIVE	(17)	50,919	0	50,919
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		586,904	0	586,904

Note: No data entry allowed in this item

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

**Fund Distribution Section**

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment III  
FY 16/17

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	31.74	693	21,996	100	0	21,996
Intake Coordinator Supervisor	26.44	2,080	54,995	100	0	54,995
Intake Coordinator	18.27	2,080	38,002	100	0	38,002
Intake Coordinator	16.83	2,080	35,006	100	0	35,006
Intake Coordinator	16.83	2,080	35,006	100	0	35,006
Intake Coordinator	16.83	2,080	35,006	100	0	35,006
Intake Coordinator	16.82	2,080	34,986	100	0	34,986
Intake Coordinator	16.83	2,080	35,006	100	0	35,006
Admin. clerk/Data Manager	14.41	2,080	29,973	100	0	29,973
Total			319,976		0	319,976

Justification

Personnel Cost for Region 3. Program Director is approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA/Med	24,478	100	0	24,478
Health Insurance	55,880	100	0	55,880
Dental Insurance	4,304	100	0	4,304
Life Insurance	4,320	100	0	4,320
Mutual of America (retirement)	22,398	100	0	22,398
			0	0
			0	0
			0	0
Total	111,380		0	111,380

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 34.809% related benefits.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Intake Coordinator Supervisor	2,875	100	0	2,875
EI Consultant	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
Intake Coordinator	2,875	100	0	2,875
			0	0
Total	23,000		0	23,000

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore eight staff will travel to 7 parishes in Region 3.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$1600 x 12)	19,200	100	0	19,200
Utilities (\$291.66 x 12)	3,500	100	0	3,500
Telephone/Cell phone (\$1100 x 12)	13,200	100	0	13,200
Maintenance of Equipment (\$416.66 x 12)	5,000	100	0	5,000
IT/IT Audit (\$500 x 12)	6,000	100	0	6,000
Liability Insurance (\$200 x 12)	2,400	100	0	2,400
Workers Compensation (\$100 x 12)	1,200	100	0	1,200
Unemployment Insurance (\$100 x 12)	1,200	100	0	1,200
			0	0
<b>Total</b>	<b>51,700</b>		<b>0</b>	<b>51,700</b>

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Paper, pens, file folders, etc (\$1416.66 x 12)	17,000	100	0	17,000
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>17,000</b>		<b>0</b>	<b>17,000</b>

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
EI Consultant (\$1249.99 x 12)	15,000	100	0	15,000
Audit (\$200 x 12)	2,400	100	0	2,400
		0	0	0
			0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>17,400</b>		<b>0</b>	<b>17,400</b>

Justification

Legal and audit services yearly. EI consultant contracted to meet contract requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Laptops (\$1000 x 1)	1,000	100	0	1,000
			0	0
			0	0
			0	0
			0	0
Total	1,000		0	1,000

Justification

Replacement of computers on rotating basis. Computer life 3 to 4 years.

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. Cost	51,438	100	0	51,438
			0	0
			0	0
			0	0
			0	0
			0	0
Total	51,438		0	51,438

Justification

9.5% indirect and admin. cost.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
Total		0		0	0

Justification





DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Southeastern Louisiana AHEC - Region 3 FROM: 7/01/2016 TO: 6/30/2017

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	319,976	0	319,976
RELATED BENEFITS	(41)	111,380	0	111,380
TRAVEL	(12)	23,000	0	23,000
OPERATING SERVICES	(13)	51,700	0	51,700
SUPPLIES	(14)	17,000	0	17,000
PROFESSIONAL SVCS	(15)	17,400	0	17,400
CAPITAL ASSETS	(16)	1,000	0	1,000
ADMINISTRATIVE	(17)	51,438	0	51,438
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		592,894	0	592,894

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment 11  
FY 17/18

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	32.74	578	18,924	100	0	18,924
Intake Coordinator Supervisor	26.43	1,734	45,830	100	0	45,830
Intake Coordinator	18.26	1,734	31,663	100	0	31,663
Intake Coordinator	16.82	1,734	29,166	100	0	29,166
Intake Coordinator	16.82	1,734	29,166	100	0	29,166
Intake Coordinator	16.82	1,734	29,166	100	0	29,166
Intake Coordinator	16.82	1,734	29,166	100	0	29,166
Intake Coordinator	16.82	1,734	29,166	100	0	29,166
Admin. clerk/Data Manager	14.41	1,734	24,987	100	0	24,987
Total			267,234		0	267,234

Justification

Personnel Cost for Region 3. Program Director is approximately 1/3 time on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
FICA/Med	20,400	100	0	20,400
Health Insurance	46,570	100	0	46,570
Dental Insurance	3,590	100	0	3,590
Life Insurance	3,600	100	0	3,600
Mutual of America (retirement)	18,670	100	0	18,670
			0	0
			0	0
			0	0
Total	92,830		0	92,830

Justification

FICA, Health, Dental, Life Insurance, Retirement benefits for those employees choosing to access these benefits represents 34.7372% related benefits.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Intake Coordinator Supervisor	2,395	100	0	2,395
EI Consultant	2,395	100	0	2,395
Intake Coordinator	2,395	100	0	2,395
Intake Coordinator	2,395	100	0	2,395
Intake Coordinator	2,395	100	0	2,395
Intake Coordinator	2,395	100	0	2,395
Intake Coordinator	2,395	100	0	2,395
Intake Coordinator	2,395	100	0	2,395
			0	0
Total	19,160		0	19,160

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore eight staff will travel to 7 parishes in Region 3.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$1600 x 10)	16,000	100	0	16,000
Utilities (\$291.66 x 10)	2,917	100	0	2,917
Telephone/Cell phone (\$1100 x 10)	11,000	100	0	11,000
Maintenance of Equipment (\$416.66 x 10)	4,167	100	0	4,167
IT/IT Audit (\$500 x 10)	5,000	100	0	5,000
Liability Insurance (\$200 x 10)	2,000	100	0	2,000
Workers Compensation (\$100 x 10)	1,000	100	0	1,000
Unemployment Insurance (\$100 x 10)	1,000	100	0	1,000
			0	0
<b>Total</b>	<b>43,084</b>		<b>0</b>	<b>43,084</b>

Justification

Rent, utilities, telephone, cell phones, fax, computers, copier maintenance, etc. are required for daily operation. Also includes workers comp. and liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Paper, pens, file folders, etc (\$1416.66 x 10)	14,167	100	0	14,167
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>14,167</b>		<b>0</b>	<b>14,167</b>

Justification

Purchase of folders, copy paper, pens, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
EI Consultant (\$1249.99 x 10)	12,500	100	0	12,500
Audit (\$240 x 10)	2,400	100	0	2,400
		0	0	0
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>14,900</b>		<b>0</b>	<b>14,900</b>

Justification

Legal and audit services yearly. EI consultant contracted to meet contract requirements.

<b>(16) Capital Assets</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Laptops (\$1000 x 1)	1,000	100	0	1,000
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	1,000		0	1,000

### Justification

<b>(17) Indirect/Admin Cost</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Admin. Cost	42,976	100	0	42,976
			0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>42,976</b>		<b>0</b>	<b>42,976</b>

### Justification

### Object Detail





DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Southeastern Louisiana AHEC - Region 3 FROM: 7/01/2017 TO: 4/30/2018

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	267,234	0	267,234
RELATED BENEFITS	(41)	92,830	0	92,830
TRAVEL	(12)	19,160	0	19,160
OPERATING SERVICES	(13)	43,084	0	43,084
SUPPLIES	(14)	14,167	0	14,167
PROFESSIONAL SVCS	(15)	14,900	0	14,900
CAPITAL ASSETS	(16)	1,000	0	1,000
ADMINISTRATIVE	(17)	42,976	0	42,976
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		495,351	0	495,351

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

Part C - System Point of Entry  
Sample Monthly Invoice

Agency Name:  
CFMS #:  
Contact Person:  
Address:

Phone:  
Email:

Month: \_\_\_\_\_

Vendor#: \_\_\_\_\_

Invoice #: \_\_\_\_\_

SPOE Region: \_\_\_\_\_ PROGRAM: EARLYSTEPS

Date: \_\_\_\_\_

Categories		Approved Amount	Previously Billed	Current Expenses	Balance Remaining
Personnel			\$ -	\$ -	\$
Related Benefits			-	-	
Travel			-	-	
Operating Supplies			-	-	
Supplies			-	-	
Professional Services					
Capital Assets			-	-	
Administrative			-	-	
Total			\$ -	\$ -	\$

CONTRACTOR'S CERTIFICATE

"This is to certify that the information contained on this form is true, accurate and complete and that expenditures shown above were made for the furtherance of and in conformity with the contractual agreement with DHH/OCDD."

\_\_\_\_\_  
Signature of Contractor

\_\_\_\_\_  
Date

\_\_\_\_\_  
OCDD Approval Signature

\_\_\_\_\_  
Date

225-342-0095  
Contact Phone #



## **Attachment VI**

1. **Order of Precedence:** The contract shall, to the extent possible, be construed to give effect to all provision contained therein, however, where provisions conflict, the intent of the parties shall be determined by giving a first priority to provisions of the contract excluding the RFP and the proposal; second priority to the provision of the RFP; and third priority to the provisions of the proposal.
2. **Entire Agreement:** This contract, together with the RFP and addenda issued thereto by the Department, the proposal submitted by the contractor in response to the Department's RFP, and any exhibits specifically incorporated herein reference constitute the entire agreement between the parties with respect to the subject matter.

BOARD RESOLUTION

STATE OF LOUISIANA  
PARISH OF TANGIPAHOA

On the 18th day of June, 2014, at a meeting of the Board of Directors of Southeastern Louisiana Area Health Education Center a corporation, held in the city of Hammond, Tangipahoa Parish, Louisiana with a quorum of the directors present, the following business was conducted:

It was duly moved and seconded that the above corporation do hereby authorize Virginia Pelegrin, President or Brian P. Jakes, Sr., Chief Executive Officer to negotiate at any time within 36 months from this date and on terms and conditions that she/he may deem advisable, a contract or contracts with the Louisiana Department of Health and Hospitals, to execute said documents on behalf of the corporation and further we do hereby give her/him the power and authority to do all things necessary to implement, maintain, amend or renew said documents.

The above resolution was passed by a majority of those present and voting in accordance with the bylaws and articles of incorporation.

I certify that the above and foregoing constitutes a true and correct copy of a part of the minutes of a meeting of the Board of Directors of Southeastern Louisiana Area Health Education Center.

Held on the 16th day of June, 2014.

Subscribed and sworn before me, a Notary Public

For the Parish of St. Tammany State of Louisiana

On the 21st day of January, 2015.

Nosha Jakes  
Notary Public # 1360012

[Signature]  
Secretary



# State of Louisiana

## DEPARTMENT OF HEALTH AND HOSPITALS Office for Citizens with Developmental Disabilities

March 25, 2015

Ms. Pamela Bartfay-Rice, Esq.  
Director  
Divisions of Administration  
Office of Contractual Review  
P.O. Box 94095  
Baton Rouge, LA 70804-9095

Dear Ms. Rice:

Please consider this justification for the Department of Health and Hospitals, Office for Citizens with Developmental Disabilities to enter in to a multi-year contract with the ten System Point of Entry Contractors selected through the RFP process:

- Region 1 – Easter Seals Louisiana (CFMS – 735114)
- Region 2 – Southeast Area Health Education Center (CFMS – 735115)
- Region 3 – Southeast Area Health Education Center (CFMS – 735268)
- Region 4 – First Steps Referral and Consulting, LLC (CFMS – 735229)
- Region 5 – First Steps Referral and Consulting, LLC (CFMS – 735210)
- Region 6 – Easter Seals Louisiana (CFMS – 735219)
- Region 7 – Families Helping Families at the Crossroads (CFMS – 735293)
- Region 8 – Easter Seals Louisiana (CFMS – 735294)
- Region 9 – Southeast Area Health Education Center (CFMS – 735292)
- Region 10 – Southeast Area Health Education Center (CFMS – 735213)

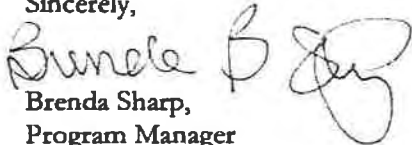
These contractors provide services for the EarlySteps system which are required by the Federal IDEA, Part C program with the US Department of Education. A multi-year contract supports the continuity of the required services: intake, initial eligibility determination, intake service coordination, as well as hosting the regional data systems for the State system for 10,000 annual referrals, and service authorizations for approximately 9300 children each year.

Funds for the first fiscal year of the contract are available and payment and performance for subsequent fiscal years shall be subject to the availability of funds.

The estimated requirements covering the period of the contract are reasonably firm and continuing and such a contract will serve the best interests of the State by encouraging effective competition or otherwise promoting economies in state procurement through the continuity of services provided over multiple years.

If further information is needed, please call (342-0095).

Sincerely,

  
Brenda Sharp,  
Program Manager



## SUMMARY OF INFORMATION

<b>CONTRACTOR NAME</b> Southeastern Louisiana Area Health Education Center	<b>Amount</b> <b>\$ 1,772,477.00</b>
<b>CONTRACT DATES</b> <b>Effective Date</b> 05-01-2015 <b>Termination Date</b> 04-30-2018	<b>BA-22 ATTACHED</b> <input checked="" type="checkbox"/>

Certification Requirements: (Check Applicable Items)

- ☒ 1. Either no employee of this agency is both competent and available to perform the services called for by the proposed contract and/or the services called for are not the type readily susceptible of being performed by persons who are employed by the State on a continuing basis.
- ☒ 2. The services are not available as a product of a prior or existing professional, personal contract.
- ☒ 3. When applicable, the requirements for consultant contracts, as provided for under R.S. 39:1503-1507, have been complied with (proper documentation should be provided).
- ☒ 4. The using agency has developed and fully intends to implement a written plan providing for the assignment of specific using personnel to a monitoring and liaison function. Identify name of individual of staff unit responsible for monitoring this contract:

<b>Name</b> Brenda Sharp, Program Manager	<b>Phone No.</b> (225)342-0095
<b>Location</b> 628 N. 4th Street P.O. Box 3117 Bin 21 Baton Rouge, LA 70821-3117	

**Summary of Monitoring Plan:** (This must include periodic review of specified reports, documents, exception reporting, or other indicia or performance, etc.). Additional pages may be attached if necessary.

Monitoring will be achieved by receipt of all deliverables as listed on Attachment II including the review of monthly reports submitted and reports obtained through the central data system which will be monitored by the EarlySteps Program Manager.

The ultimate use of the final product of the services: (Specify)

Identify EarlySteps eligible infants and toddlers served under the Part C system thus meeting the federal benchmark of a least 2% served statewide.

- ☒ 5. Respond to questions A or B on all contracts except those funded by "Other Charges" (3600 series) of Budget:  
A. What critical services will go unprovided and to whom?  
Early intervention services would not be available to children in need.
- B. How many hours will the contractor have to work? N/A
- ☒ 6. Completed monitoring report will be submitted to the Office of Contractual Review within **60** days after termination of contract. **(For Personal, Professional, Consulting contracts exceeding \$20,000)**
- ☒ 7. The services have not been artificially divided to as to constitute a small purchase (not exceeding \$20,000).
- ☒ 8. A cost-benefit analysis has been conducted which indicates that obtaining such services from the private sector is more cost-effective than providing such services the agency itself or by any agreement with another state agency and includes both a short-term and long-term analysis and is available for review.
- ☒ 9. The cost basis for the proposed contract is justified and reasonable.
- ☒ 10. A description of the specific goals and objectives, deliverables, performance measures and a plan for monitoring the services to be provided are contained in the proposed contract.

**PRIOR CONTRACT INFORMATION MUST BE FILLED OUT (IF NO PRIOR CONTRACT PUT N/A)**

<b>PRIOR YEAR SERVICES PROVIDED BY (Contractor Name):</b> Southeast Area Health Education Center			
<b>CFMS#:</b> 730517	<b>DHH#:</b> 060300	<b>EFF:</b> 07-01-2014	<b>TERM:</b> 04-30-2015
<b>AMOUNT:</b> \$ 454,978.00	<b>PREVIOUSLY ISSUED UNDER RFP?</b> IF YES, DATE: <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO      DATE: 06-02-2011		

YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Contains a date upon which the contract is to begin and upon which the contract will terminate.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Contains a description of the work to be performed and objectives to be met.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Contains an amount and time payment to be made.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Contains a description of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Contains a date of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. When a contract includes travel and/or other reimbursable expenses, it contains language to effect the following:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	A. Travel and other reimbursable expenses shall constitute part of the total maximum payable under the contract; (or)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	B. No more than (a certain sum) of the total maximum amount payable under this contract shall be paid or received as reimbursement for travel and other reimbursable expenses; (and)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	C. Travel expenses shall be reimbursed in accordance with Division of Administration Policy and Procedure memorandum 49 (The State General Travel Regulations).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. Contains the responsibility for payment of taxes.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	8. Contains the circumstances under which the contract can be terminated either with or without cause and contains the remedies for default.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	9. Contains a statement giving the Legislative Auditor the authority to audit records of the individual(s) or firm(s).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10. Contains an assignability clause as provided for under LAC-4:4.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	11. Budget Form BA-22, fully completed and attached to back of each contract.

DETERMINATION OF RESPONSIBILITY

YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Had adequate financial resources for performance, or has the ability to obtain such resources as required during performance.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Has the necessary experience, organization, technical qualifications, skills and facilities or has the ability to obtain them (including probable subcontractor arrangements).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Is able to comply with the proposed or required time of delivery or performance schedule.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Has a satisfactory record of integrity, judgment and performance (contractors which are seriously delinquent in current contract performance, considering the number of contracts and the extent of delinquencies of each, shall in the absences of evidence to the contrary or compelling circumstances presumed to be unable to fulfill this agreement).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Is otherwise qualified and eligible to receive an award under applicable laws and regulations.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. If a contract for consulting services is for \$50,000 or more: The head of the using agency has prepared, signed and placed in the contract file a statement of the facts on which a determination of responsibility of offer or potential subcontractors have been filed with the statement.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. On subcontracting, it has been established that contractors recent performance history indicates acceptable subcontracting systems; or, major subcontractors have been determined by the heads of the using agency to satisfy this standard

R.F.P. CONSULTING CONTRACTS FOR \$50,000 OR MORE; UNLESS DETERMINED EXEMPT AS PER ACT 673 of 1985, R.S. 39:1494.1 (A).

☐ Contract file attached and this includes:

☐ Criteria for selection    ☐ Proposals    ☐ Pertinent Documents    ☐ Selection Memorandum

PROGRAM / FACILITY SIGNATURE

ASSISTANT SECRETARY OR DESIGNEE SIGNATURE

OFFICE	PHONE NUMBER
OCDD/EarlySteps	(225)342-5715

OFFICE
Office for Citizens with Developmental Disabilities

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION  
BA-22 (REV. 09/2005)

Date: 4/2/2015  
Agency Name: Office for Citizens with Developmental Disabi  
Agency BA-22 #: 30  
Dept/Budget Unit: 09/340/2000  
OCR/CFMS Contract #: 735268  
Agency Contract #: 060730

Fiscal Year for this BA-22: 2014-2015  
(yyyy-yy)  
BA-22 Start/End Dates: 05/01/15 06/30/15  
(Start Date) (End Date)

Multi-year Contract (Yes/No): Yes  
If "Yes", provide contract dates:  
05/01/15 04/30/18  
(Start Date) (End Date)

Southeastern Louisiana Area Health Education Center  
(Contractor/Vendor Name)  
72115501400  
(Contractor/Vendor No.)

Contractor will provide System Point of Entry services with the Region 3 Parishes for Early Steps.  
(Provide a statement of "Services Provided")

Contract Amendment (Yes/No): NO  
Amendment Start/End Dates:  
(Start Date) (End Date)

Contract Cancellation (Yes/No): NO  
Date of Cancellation:

(Provide rationale for amendment or cancellation)

This information is to be provided at the Agency Level				
MEANS OF FINANCING	AMOUNT			
	Current Year	%	Total Contract	%
State General Fund	\$0	0%	\$0	0.0%
Interagency Transfers	\$0	0%	\$0	0.0%
Fees and Self Gen.	\$0	0.0%	\$0	0.0%
Statutory Dedication	\$0	0.0%	\$0	0.0%
Federal	\$97,328	100%	\$1,772,477	100.0%
TOTALS	\$97,328	100%	\$1,772,477	100.0%

\*Specify Source (i.e., grant name, fund name, IAT sending agency and revenue source, fee type and source, etc.)  
Are revenue collections for funds utilized above in line with budgeted amounts? (Yes/No)  
If not, explain.

This information is to be provided at the Agency Level	
Name of Object Code/Category:	Miscellaneous Charges
Object Code/Category Number:	3655
Amount Budgeted:	\$15,496,069
Amount Previously Obligated:	\$6,140,339
Amount this BA-22:	\$97,328
Balance:	\$9,258,402

The approval of the aforementioned contract will not cause this agency to be placed in an Object Category deficit.

Agency Contact: Clent Goff  
Name: Clent Goff  
Title: Program Manager 1  
Phone: (225) 342-0943  
Reviewed/Approved By: Geetha Kumar  
Name: Geetha Kumar  
Title: Program Manager  
Phone: (225) 342-8725

FOR AGENCY USE ONLY						
AGENCY	PROGRAM	ACTIVITY	ORGANIZ.	OBJECT	REPT CAT	AMOUNT
340	2000		8312	3655	8107	\$97,328.00

<b>AMENDMENT TO</b>		Amendment #: <u>1</u>
<b>AGREEMENT BETWEEN STATE OF LOUISIANA</b>		LAGOV#: <u>2000122575</u>
<b>LOUISIANA DEPARTMENT OF HEALTH</b>		LDH #: <u>060725</u>
<b>Office for Citizens with Developmental Disabilities</b>		
(Regional/ Program/ Facility)	<u>EarlySteps, Louisiana's Early Intervention System</u>	Original Contract Amt <u>\$ 2,143,487.00</u>
<b>AND</b>		Original Contract Begin Date <u>05-01-2015</u>
	<u>First Steps Referral and Consulting , LLC</u>	Original Contract End Date <u>04-30-2018</u>
	Contractor Name	RFP Number: <u>305PUR-DHHRFP-SPOE</u>

<b>AMENDMENT PROVISIONS</b>		
Change Contract From:	From Maximum Amount: <u>\$ 2,143,487.00</u>	Current Contract Term: <u>05/01/2015 - 04/30/2018</u>
<div>CF-1 Block 13 Maximum Contract Amount \$2,143,487 FY15 \$114,526 FY16 \$697,512, FY17 \$715,045 FY18 \$616,404</div> <div>Block 14 Terms of Payment: See Attachment III: Budget</div>		
Change Contract To:	To Maximum Amount: <u>\$ 3,622,934.00</u>	Changed Contract Term: <u>5/01/2015 - 4/30/2020</u>
<div>CF-1 Block 13 Maximum Contract Amount \$3,622,934 FY15 \$114,526 FY16 \$697,512, FY17 \$715,045, FY18 \$616,404 (10 month), FY 18 \$123,377 (2 month), FY19 \$739,667, FY20 \$616,403</div> <div>Block 14 Terms of Payment: See Attachment III: Budget</div>		

Justifications for amendment:

The current contract, which was executed via RFP# 305PUR-DHHRFP-SPOE-2014-OCDD on May 1, 2015, expires on April 30, 2018. The RFP included an option to extend the resulting contract from 3 to 5 years. Since 2008, the RFP has been issued 3 times with no other qualified applicants competing. LDH/OCDD is satisfied with the performance of First Steps Referral and Consulting, LLC, in meeting all deliverables and would like to exercise the option to extend the contract the allowable 24 months, in the Region 4 parishes for EarlySteps, the Louisiana's Early Intervention program.

This Amendment Becomes Effective: 05-01-2018

This amendment contains or has attached hereto all revised terms and conditions agreed upon by contracting parties.

IN WITNESS THEREOF, this amendment is signed and entered into on the date indicated below.

<b>CONTRACTOR</b>	<b>STATE OF LOUISIANA</b>
<b>First Steps Referral and Consulting , LLC</b>	<b>LOUISIANA DEPARTMENT OF HEALTH</b>
	<b>Secretary, Louisiana Department of Health or Designee</b>
<b>CONTRACTOR SIGNATURE</b>	<b>SIGNATURE</b>
<b>DATE</b>	<b>DATE</b>
PRINT NAME <u>Mary F. Hockless</u>	NAME <u>Mark A. Thomas</u>
CONTRACTOR TITLE <u>Executive Director</u>	TITLE <u>Assistant Secretary</u>
	OFFICE <u>Office for Citizens with Developmental Disabilities</u>
	<b>PROGRAM SIGNATURE</b>
	<b>DATE</b>
	NAME

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Director/EI Consultant/Supervisor	55.76	173	9,646	100	0	9,646
Intake Coordinator	13.06	346	4,519	100	0	4,519
Intake Coordinator	25.81	346	8,930	100	0	8,930
Intake Coordinator	25.81	346	8,930	100	0	8,930
Intake Coordinator	25.12	346	8,692	100	0	8,692
Intake Coordinator	25.12	346	8,692	100	0	8,692
Intake Coordinator	25.12	346	8,692	100	0	8,692
Data Management/Adm. Clerk	19.67	346	6,806	100	0	6,806
Data Management/Adm. Clerk	19.67	346	6,806	100	0	6,806
Total			71,713		0	71,713

Justification

Personnel cost for Region 4. Director/EI Consultant/Supervisor is .5 FTE on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Medical	9,561	100	0	9,561
FICA	5,495	100	0	5,495
FUTA	187	100	0	187
LAUE	180	100	0	180
Retirement IRA	2,871	100	0	2,871
			0	0
			0	0
			0	0
Total	18,294		0	18,294

Justification

9 staff benefits to include state and federally required items such as FICA and Medicare. Includes other benefits such as health and 401K, etc. Related benefits represents 25.4545%

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Director/EI Consultant/Supervisor	941	100	0	941
Intake Coordinator	941	100	0	941
Intake Coordinator	941	100	0	941
Intake Coordinator	941	100	0	941
Intake Coordinator	941	100	0	941
Intake Coordinator	941	100	0	941
Intake Coordinator	941	100	0	941
			0	0
Total	6,587		0	6,587

Justification

Travel will be reimbursed in accordance wiht PPM49. Families do not travel to the office, therefore seven staff will travel to all parishes in Region 4.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Office rental (\$1100 x 2)	2,200	100	0	2,200
Utilities (\$563.65 x 2)	1,127	100	0	1,127
Phone (\$878.28 x 2)	1,757	100	0	1,757
Liability Insurance (\$666.64 x 2)	1,333	100	0	1,333
Workers Comp. (\$466.65 x 2)	933	100	0	933
Postage (\$646.62 x 2)	1,293	100	0	1,293
Copier Rental (\$481.42 x 2)	963	100	0	963
			0	0
			0	0
<b>Total</b>	<b>9,606</b>		<b>0</b>	<b>9,606</b>

Justification

Office space rental, copier services, bulk mailing, telephone, cell phones, etc. are required for daily operation. Also includes liability and workers comp. insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Folders and labels (\$76.93 x 2 )	154	100	0	154
Pens, pencils, paper, drives, etc. (\$110.36 x 2)	221	100	0	221
Envelopes for mailings (\$66.27 x 2)	133	100	0	133
Toners for printers (\$449.35 x 2)	899	100	0	899
Computer Supplies/Virus Protection (316.76 x 2)	634	100	0	634
			0	0
			0	0
<b>Total</b>	<b>2,041</b>		<b>0</b>	<b>2,041</b>

Justification

Purchase of folders, pens, pencils, paper clips, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Interpreter (\$90.00 x 2)	180	100	0	180
Training (\$183.33 x 2)	364	100	0	364
Audit (\$686.43 x 2)	1,373	100	0	1,373
			0	0
			0	0
<b>Total</b>	<b>1,917</b>		<b>0</b>	<b>1,917</b>

Justification

Meet state contract audit requirements. Staff training as required.







LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: First Steps Referral and Consulting, LLC FROM: 5/1/18 TO: 6/30/18

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	71,713	0	71,713
RELATED BENEFITS	(41)	18,294	0	18,294
TRAVEL	(12)	6,587	0	6,587
OPERATING SERVICES	(13)	9,606	0	9,606
SUPPLIES	(14)	2,041	0	2,041
PROFESSIONAL SVCS	(15)	1,917	0	1,917
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	13,219	0	13,219
(Enter Cat 1 name)	(0)			
(Enter Cat 2 name)	(0)			
TOTAL COST		123,377	0	123,377

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Director/EI Consultant/Supervisor	55.76	1,040	57,990	100	0	57,990
Intake Coordinator	13.06	2,080	27,165	100	0	27,165
Intake Coordinator	25.81	2,080	53,685	100	0	53,685
Intake Coordinator	25.81	2,080	53,685	100	0	53,685
Intake Coordinator	25.12	2,080	52,250	100	0	52,250
Intake Coordinator	25.12	2,080	52,250	100	0	52,250
Intake Coordinator	25.12	2,080	52,250	100	0	52,250
Data Management/Admin Clerk	19.67	2,080	40,914	100	0	40,914
Data Management/Admin Clerk	19.67	2,080	40,914	100	0	40,914
Total			431,103		0	431,103

Justification

Personnel cost for Region 4. Director/EI Consultant/Supervisor is .5 FTE on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Medical	57,366	100	0	57,366
FICA	32,972	100	0	32,972
FUTA	1,121	100	0	1,121
LAUE	1,078	100	0	1,078
Retirement IRA	17,222	100	0	17,222
			0	0
			0	0
Total	109,759		0	109,759

Justification

9 staff benefits to include state and federally required items such as FICA and Medicare. Includes other benefits such as health and 401K, etc. Related benefits represents 25.46%.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Director/EI Consultant/Supervisor	5,452	100	0	5,452
Intake Coordinator	5,452	100	0	5,452
Intake Coordinator	5,452	100	0	5,452
Intake Coordinator	5,452	100	0	5,452
Intake Coordinator	5,452	100	0	5,452
Intake Coordinator	5,452	100	0	5,452
Intake Coordinator	5,452	100	0	5,452
			0	0
Total	38,164		0	38,164

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to all parishes in Region 4.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Office rental (\$1100 x 12)	13,200	100	0	13,200
Utilities (\$563.65 x 12)	6,764	100	0	6,764
Phone (\$878.28 x 12)	10,539	100	0	10,539
Liability Insurance (\$666.64 x 12)	8,000	100	0	8,000
Workers Comp. (\$466.65 x 12)	5,600	100	0	5,600
Postage (\$646.62 x 12)	7,759	100	0	7,759
Copier Rental (\$481.42 x 12)	5,777	100	0	5,777
			0	0
<b>Total</b>	<b>57,639</b>		<b>0</b>	<b>57,639</b>

Justification

Office space rental, copier services, bulk mailing, telephone, cell phones, etc. are required for daily operation. Also includes liability and workers comp. insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Folders and labels (\$76.93 x 12)	923	100	0	923
Pens, pencils, paper, drives, etc. (\$110.36 x 12)	1,324	100	0	1,324
Envelopes for mailings (\$66.27 x 12)	795	100	0	795
Toners for printers (\$449.35 x 12)	5,392	100	0	5,392
Computer Supplies/Virus Protection (316.76 x 12)	3,801	100	0	3,801
			0	0
			0	0
<b>Total</b>	<b>12,235</b>		<b>0</b>	<b>12,235</b>

Justification

Purchase of folders, pens, pencils, paper clips, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Interpreter (\$90.00 x 12)	1,080	100	0	1,080
Training (\$183.33 x 12)	2,200	100	0	2,200
Audit (\$686.43 x 12)	8,237	100	0	8,237
			0	0
<b>Total</b>	<b>11,517</b>		<b>0</b>	<b>11,517</b>

Justification

Meet state contract audit requirements. Staff training as required.







LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR:  FROM:  TO:

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	431,103	0	431,103
RELATED BENEFITS	(41)	109,759	0	109,759
TRAVEL	(12)	38,164	0	38,164
OPERATING SERVICES	(13)	57,639	0	57,639
SUPPLIES	(14)	12,235	0	12,235
PROFESSIONAL SVCS	(15)	11,517	0	11,517
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	79,250	0	79,250
(Enter Cat 1 name)	(0)			
(Enter Cat 2 name)	(0)			
TOTAL COST		739,667	0	739,667

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Director/EI Consultant/Supervisor	55.76	867	48,344	100	0	48,344
Intake Coordinator	13.06	1,734	22,646	100	0	22,646
Intake Coordinator	25.81	1,734	44,755	100	0	44,755
Intake Coordinator	25.81	1,734	44,755	100	0	44,755
Intake Coordinator	25.12	1,734	43,558	100	0	43,558
Intake Coordinator	25.12	1,734	43,558	100	0	43,558
Intake Coordinator	25.12	1,734	43,558	100	0	43,558
Data Management/Adm. Clerk	19.67	1,734	34,108	100	0	34,108
Data Management/Adm. Clerk	19.67	1,734	34,108	100	0	34,108
Total			359,390		0	359,390

Justification

Personnel cost for Region 4. Director/EI Consultant/Supervisor is .5 FTE on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Medical	47,805	100	0	47,805
FICA	27,477	100	0	27,477
FUTA	934	100	0	934
LAUE	898	100	0	898
Retirement IRA	14,367	100	0	14,367
			0	0
			0	0
Total	91,481		0	91,481

Justification

9 staff benefits to include state and federally required items such as FICA and Medicare. Includes other benefits such as health and 401K, etc. Related benefits represents 25.4545%

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Director/EI Consultant/Supervisor	4,704	100	0	4,704
Intake Coordinator	4,704	100	0	4,704
Intake Coordinator	4,704	100	0	4,704
Intake Coordinator	4,704	100	0	4,704
Intake Coordinator	4,704	100	0	4,704
Intake Coordinator	4,704	100	0	4,704
Intake Coordinator	4,704	100	0	4,704
			0	0
Total	32,928		0	32,928

Justification

Travel will be reimbursed in accordance wiht PPM49. Families do not travel to the office, therefore seven staff will travel to all parishes in Region 4.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Office rental (\$1100 x 10)	11,000	100	0	11,000
Utilities (\$563.65 x 10)	5,637	100	0	5,637
Phone (\$878.28 x 10)	8,783	100	0	8,783
Liability Insurance (\$666.64 x 10)	6,666	100	0	6,666
Workers Comp. (\$466.65 x 10)	4,667	100	0	4,667
Postage (\$646.62 x 10)	6,466	100	0	6,466
Copier Rental (\$481.42 x 10)	4,814	100	0	4,814
			0	0
<b>Total</b>	<b>48,033</b>		<b>0</b>	<b>48,033</b>

Justification

Office space rental, copier services, bulk mailing, telephone, cell phones, etc. are required for daily operation. Also includes liability and workers comp. insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Folders and labels (\$76.93 x 10)	769	100	0	769
Pens, pencils, paper, drives, etc. (\$110.36 x 10)	1,104	100	0	1,104
Envelopes for mailings (\$66.27 x 10)	663	100	0	663
Toners for printers (\$449.35 x 10)	4,494	100	0	4,494
Computer Supplies/Virus Protection (316.76 x 10)	3,168	100	0	3,168
			0	0
<b>Total</b>	<b>10,198</b>		<b>0</b>	<b>10,198</b>

Justification

Purchase of folders, pens, pencils, paper clips, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Interpreter (\$90.00 x 10)	900	100	0	900
Training (\$183.33 x 10)	1,833	100	0	1,833
Audit (\$559.70 x 10)	5,597	100	0	5,597
			0	0
<b>Total</b>	<b>8,330</b>		<b>0</b>	<b>8,330</b>

Justification

Meet state contract audit requirements. Staff training as required.







LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR:  FROM:  TO:

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	359,390	0	359,390
RELATED BENEFITS	(41)	91,481	0	91,481
TRAVEL	(12)	32,928	0	32,928
OPERATING SERVICES	(13)	48,033	0	48,033
SUPPLIES	(14)	10,198	0	10,198
PROFESSIONAL SVCS	(15)	8,330	0	8,330
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	66,043	0	66,043
(Enter Cat 1 name)	(0)			
(Enter Cat 2 name)	(0)			
TOTAL COST		616,403	0	616,403

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

2050122575

DHH - CF - 1  
Revised: 2011-06

CONTRACT BETWEEN STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS  
  
Office for Citizens with Developmental Disabilities  
  
EarlySteps, Louisiana's Early Intervention System  
  
AND  
  
First Steps Referral and Consulting, LLC  
  
FOR

CFMS: 735229  
DHH: 060725  
Agency # 340

☐ Personal Services ☐ Professional Services ☐ Consulting Services ☒ Social Services

1) Contractor (Legal Name if Corporation) First Steps Referral and Consulting, LLC			5) Federal Employer Tax ID# or Social Security # 55082549900 (Must be 11 Digits)		
2) Street Address P.O. Box 12213			6) Parish(es) Served 01, 20, 23, 28, 49, 50, 57		
City New Iberia	State LA	Zip Code 70562	7) License or Certification # NA		
3) Telephone Number (337) 224-5842			8) Contractor Status  Subrecipient: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Corporation: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No For Profit: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Publicly Traded: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
4) Mailing Address (if different)					
City	State	Zip Code	8a) CFDA#(Federal Grant #) 84.181A		

9) **Brief Description Of Services To Be Provided:**  
Contractor will provide System Point of Entry (SPOE) services with the Region 4 parishes for EarlySteps, Louisiana's Early Intervention System and its eligible infants & toddler from birth to three as regulated under Part C of the Individuals with Disabilities Education Improvement Act (IDEA). Contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and supporting the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family . The contractor will maintain electronic and hard copy paper files of the early intervention records. Contractor shall perform work in accordance with Attachment II: Statement of Work.

10) Effective Date 05-01-2015	11) Termination Date 04-30-2018
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12) This contract may be terminated by either party upon giving thirty (30) days advance written notice to the other party with or without cause but in no case shall continue beyond the specified termination date.

13) Maximum Contract Amount \$ 2,143,487.00	14/15-114,526 15/16-697,512 16/17-715,045 17/18 - 616,404
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14) **Terms of Payment**  
If progress and/or completion of services are provided to the satisfaction of the initiating Office/Facility, payments are to be made as follows:  
Fiscal will pay invoices within (20) days after receipt.

Travel will be reimbursed in accordance with PPM 49.

Authorization for payment will be made upon submission of deliverables summarized within monthly report and itemized invoices after approval from the Program Manager. Contractor will be paid on a cost reimbursement basis in accordance with attached budget.

Contractor obligated to submit final invoices to Agency within fifteen (15) days after termination of contract.

PAYMENT WILL BE MADE ONLY UPON APPROVAL OF:	First Name Brenda	Last Name Sharp
	Title Program Manager	Phone Number (225) 342-0095

15) **Special or Additional Provisions which are incorporated herein, if any (IF NECESSARY, ATTACH SEPARATE SHEET AND REFERENCE):**

Attachment I: HIPAA Addendum  
Attachment II: Statement of Work  
Attachment III Budget  
Attachment IV: Monthly Invoice  
Attachment V: SPOE Monthly Report  
Attachment VI: Order of Precedence

Exhibit I: Sole Proprietorship  
Exhibit II: Multi Year Letter

**During the performance of this contract, the Contractor hereby agrees to the following terms and conditions:**

1. Contractor hereby agrees to adhere as applicable to the mandates dictated by Titles VI and VII of the Civil Rights Act of 1964, as amended; the Vietnam Era Veterans' Readjustment Assistance Act of 1974; Americans with Disabilities Act of 1990 as amended; the Rehabilitation Act of 1973 as amended; Sec. 202 of Executive Order 11246 as amended, and all applicable requirements imposed by or pursuant to the regulations of the U. S. Department of Health and Human Services. Contractor agrees not to discriminate in the rendering of services to and/or employment of individuals because of race, color, religion, sex, age, national origin, handicap, political beliefs, disabled veteran, veteran status, or any other non-merit factor.
2. Contractor shall abide by the laws and regulations concerning confidentiality which safeguard information and the patient/client confidentiality. Information obtained shall not be used in any manner except as necessary for the proper discharge of Contractor's obligations. (The Contractor shall establish, subject to review and approval of the Department, confidentiality rules and facility access procedures.)
3. The State Legislative Auditor, Office of the Governor, Division of Administration, and Department Auditors or those designated by the Department shall have the option of auditing all accounts pertaining to this contract during the contract and for a three year period following final payment. Contractor grants to the State of Louisiana, through the Office of the Legislative Auditor, Department of Health and Hospitals, and Inspector General's Office, Federal Government and/or other such officially designated body the right to inspect and review all books and records pertaining to services rendered under this contract, and further agrees to guidelines for fiscal administration as may be promulgated by the Department. Records will be made available during normal working hours.

Contractor shall comply with federal and state laws and/or DHH Policy requiring an audit of the Contractor's operation as a whole or of specific program activities. Audit reports shall be sent within thirty (30) days after the completion of the audit, but no later than six (6) months after the end of the audit period. If an audit is performed within the contract period, for any period, four (4) copies of the audit report shall be sent to the Department of Health and Hospitals, Attention: **Division of Fiscal Management, P.O. Box 91117, Baton Rouge, LA 70821-3797** and one (1) copy of the audit shall be sent to the **originating DHH Office**.

4. Contractor agrees to retain all books, records and other documents relevant to the contract and funds expended thereunder for at least four (4) years after final payment or as prescribed in 45 CFR 74:53 (b) whichever is longer. Contractor shall make available to the Department such records within thirty (30) days of the Department's written request and shall deliver such records to the Department's central office in Baton Rouge, Louisiana, all without expense to the Department. Contractor shall allow the Department to inspect, audit or copy records at the contractor's site, without expense to the Department.
5. Contractor shall not assign any interest in this contract and shall not transfer any interest in the same (whether by assignment or novation), without written consent of the Department thereto, provided, however, that claims for money due or to become due to Contractor from the Department under this contract may be assigned to a bank, trust company or other financial institution without advanced approval. Notice of any such assignment or transfer shall be promptly furnished to the Department and the Division of Administration, Office of Contractual Review.
6. Contractor hereby agrees that the responsibility for payment of taxes from the funds received under this contract shall be Contractor's. The contractor assumes responsibility for its personnel providing services hereunder and shall make all deductions for withholding taxes, and contributions for unemployment compensation funds.
7. Contractor shall obtain and maintain during the contract term all necessary insurance including automobile insurance, workers' compensation insurance, and general liability insurance. The required insurances shall protect the Contractor, the Department of Health and Hospitals, and the State of Louisiana from all claims related to Contractor's performance of this contract. Certificates of Insurance shall be filed with the Department for approval. Said policies shall not be canceled, permitted to expire, or be changed without thirty (30) days advance written notice to the Department. Commercial General Liability Insurance shall provide protection during the performance of work covered by the contract from claims or damages for personal injury, including accidental death, as well as claims for property damages, with combined single limits prescribed by the Department.
8. In cases where travel and related expenses are required to be identified separate from the fee for services, such costs shall be in accordance with State Travel Regulations. The contract contains a maximum compensation which shall be inclusive of all charges including fees and travel expenses.
9. No funds provided herein shall be used to urge any elector to vote for or against any candidate or proposition on an election ballot nor shall such funds be used to lobby for or against any proposition or matter having the effect of law being considered by the legislature or any local governing authority. This provision shall not prevent the normal dissemination of factual information relative to a proposition or any election ballot or a proposition or matter having the effect of law being considered by the legislature or any local governing authority. Contracts with individuals shall be exempt from this provision.
10. Should contractor become an employee of the classified or unclassified service of the State of Louisiana during the effective period of the contract, Contractor must notify his/her appointing authority of any existing contract with State of Louisiana and notify the contracting office of any additional state employment. This is applicable only to contracts with individuals.

11. All non-third party software and source code, records, reports, documents and other material delivered or transmitted to Contractor by State shall remain the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract. All non-third party software and source code, records, reports, documents, or other material related to this contract and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract.

12. Contractor shall not enter into any subcontract for work or services contemplated under this contract without obtaining prior written approval of the Department. Any subcontracts approved by the Department shall be subject to conditions and provisions as the Department may deem necessary; provided, however, that notwithstanding the foregoing, unless otherwise provided in this contract, such prior written approval shall not be required for the purchase by the contractor of supplies and services which are incidental but necessary for the performance of the work required under this contract. No subcontract shall relieve the Contractor of the responsibility for the performance of contractual obligations described herein.

13. No person and no entity providing services pursuant to this contract on behalf of contractor or any subcontractor is prohibited from providing such services by the provisions of R.S. 42:1113 as amended in the 2008 Regular Session of the Louisiana Legislature.

14. No claim for services furnished or requested for reimbursement by Contractor, not provided for in this contract, shall be allowed by the Department. In the event the Department determines that certain costs which have been reimbursed to Contractor pursuant to this or previous contracts are not allowable, the Department shall have the right to set off and withhold said amounts from any amount due the Contractor under this contract for costs that are allowable.

15. This contract is subject to and conditioned upon the availability and appropriation of Federal and/or State funds; and no liability or obligation for payment will develop between the parties until the contract has been approved by required authorities of the Department; and, if contract exceeds \$20,000, the Director of the Office of Contractual Review, Division of Administration in accordance with La. R.S. 39:1502..

16. The continuation of this contract is contingent upon the appropriation of funds from the legislature to fulfill the requirements of the contract. If the Legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds are not appropriated.

17. Any alteration, variation, modification, or waiver of provisions of this contract shall be valid only when reduced to writing, as an amendment duly signed, and approved by required authorities of the Department; and, if contract exceeds \$20,000, approved by the Director of the Office of Contractual Review, Division of Administration. Budget revisions approved by both parties in cost reimbursement contracts do not require an amendment if the revision only involves the realignment of monies between originally approved cost categories.

18. Any contract disputes will be interpreted under applicable Louisiana laws and regulations in Louisiana administrative tribunals or district courts as appropriate.

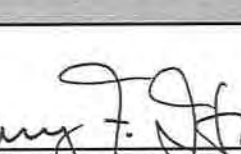
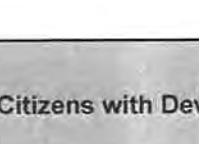
19. Contractor will warrant all materials, products and/or services produced hereunder will not infringe upon or violate any patent, copyright, trade secret, or other proprietary right of any third party. In the event of any such claim by any third party against DHH, the Department shall promptly notify Contractor in writing and Contractor shall defend such claim in DHH's name, but at Contractor's expense and shall indemnify and hold harmless DHH against any loss, expense or liability arising out of such claim, whether or not such claim is successful. This provision is not applicable to contracts with physicians, psychiatrists, psychologists or other allied health providers solely for medical services.

20. Any equipment purchased under this contract remains the property of the Contractor for the period of this contract and future continuing contracts for the provision of the same services. Contractor must submit vendor invoice with reimbursement request. For the purpose of this contract, equipment is defined as any tangible, durable property having a useful life of at least (1) year and acquisition cost of \$1000.00 or more. The contractor has the responsibility to submit to the Contract Monitor an inventory list of DHH equipment items when acquired under the contract and any additions to the listing as they occur. Contractor will submit an updated, complete inventory list on a quarterly basis to the Contract Monitor. Contractor agrees that upon termination of contracted services, the equipment purchased under this contract reverts to the Department. Contractor agrees to deliver any such equipment to the Department within 30 days of termination of services.

21. Contractor agrees to protect, indemnify and hold harmless the State of Louisiana, DHH, from all claims for damages, costs, expenses and attorney fees arising in contract or tort from this contract or from any acts or omissions of Contractor's agents, employees, officers or clients, including premises liability and including any claim based on any theory of strict liability. This provision does not apply to actions or omissions for which LA R.S. 40:1299.39 provides malpractice coverage to the contractor, nor claims related to treatment and performance of evaluations of persons when such persons cause harm to third parties (R.S. 13:5108.1(E)). Further it does not apply to premises liability when the services are being performed on premises owned and operated by DHH.

22. Any provision of this contract is severable if that provision is in violation of the laws of the State of Louisiana or the United States, or becomes inoperative due to changes in State and Federal law, or applicable State or Federal regulations.
23. Contractor agrees that the current contract supersedes all previous contracts, negotiations, and all other communications between the parties with respect to the subject matter of the current contract.

**THIS CONTRACT CONTAINS OR HAS ATTACHED HERETO ALL THE TERMS AND CONDITIONS AGREED UPON BY THE CONTRACTING PARTIES. IN WITNESS THEREOF, THIS CONTRACT IS SIGNED ON THE DATE INDICATED BELOW.**

First Steps Referral and Consulting, LLC		STATE OF LOUISIANA DEPARTMENT OF HEALTH AND HOSPITALS	
	3.9.15		
SIGNATURE	DATE	SIGNATURE	DATE
Mary F. Hockless		Kathy Kliebert	
NAME		NAME	
Executive Director		Secretary, Department of Health and Hospital or Designee	
TITLE		TITLE	
EarlySteps, Louisiana's Early Intervention System		Office for Citizens with Developmental Disabilities	
			
SIGNATURE	DATE	SIGNATURE	DATE
Brenda Sharp		Mark A. Thomas	
NAME		NAME	
Program Manager		Assistant Secretary	
TITLE		TITLE	

## HIPAA Business Associate Addendum

This HIPAA Business Associate Addendum is hereby made a part of this contract in its entirety as Attachment \_\_\_\_\_ to the contract.

1. The Louisiana Department of Health and Hospitals ("DHH") is a Covered Entity, as that term is defined herein, because it functions as a health plan and as a health care provider that transmits health information in electronic form.
2. Contractor is a Business Associate of DHH, as that term is defined herein, because contractor either: (a) creates, receives, maintains, or transmits PHI for or on behalf of DHH; or (b) provides legal, actuarial, accounting, consulting, data aggregation, management, administrative, accreditation, or financial services for DHH involving the disclosure of PHI.
3. Definitions: As used in this addendum –
  - A. The term "HIPAA Rules" refers to the federal regulations known as the HIPAA Privacy, Security, Enforcement and Breach Notification Rules found at 45 C.F.R. Parts 160 and 164 which were originally



### Office of State Procurement PROACT Contract Certification of Approval

**This certificate serves as confirmation that the Office of State Procurement has reviewed and approved the contract referenced below.**

**Reference Number:** 735229

**Vendor:** First Steps Referral and Consulting, LLC

**Description:** 735229 - Contractor will provide System Point of Entry (SPOE) Reg. 4.

**Approved By:** Pamela Rice

**Approval Date:** 7/01/2015

The above referenced number has been assigned by this office and will be used as identification for the approved contract. Please use this number when referring to the contract in any future correspondence or amendment(s).

The Internal Revenue Service (IRS) may find that this contract creates an employment relationship between your agency and the contractor. You should be advised that your agency is responsible for all taxes and penalties if such a finding is forthcoming. It is incumbent upon your agency to determine if an employee/employer relationship exists. Your agency must make the appropriate withholdings in accordance with law and IRS regulations, if applicable.



## ATTACHMENT II

### Statement of Work

#### **GOAL/PURPOSE**

The contractor will provide System Point of Entry services to infants and toddlers (birth to three years old) who have developmental delays or diagnosed medical conditions likely to result in developmental delays in accordance with the Individuals with Disabilities Education Improvement Act (IDEA). The contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family in EarlySteps, Louisiana's IDEA Part C system.

#### **Deliverable 1**

The contractor shall provide qualified and trained Intake Support Coordinators to provide the required services outlined below and to function as the EarlySteps initial point of contact for the designated region.

**Deliverable 1.1:** Contractor will receive referrals from a parent, family member, physician, teacher, service providers, agencies, etc. Contractor will respond to each referral within specified timelines, and the following services will be offered: intake coordination via face-to-face interview and/or telephone contact, screening of the child, review of referral information and concerns, access of other health or evaluation information. The contractor must conduct the face-to-face interview with the family in their natural environment unless otherwise arranged with the family and with documentation that supports the family's decision.

**Deliverable 1.2:** Contractor will ensure that completion of the initial face-to-face interview with the family will include providing the following information: introduction of the family to the EarlySteps system and providing to the family, in the family's primary language or other mode of communication (including in writing), their procedural safeguards and their right to due process under IDEA-Part C in 34 CFR 303.400-438 related to intake and eligibility procedures.

**Deliverable 1.3:** Contractor will receive informed written consent from the parent/legal guardian to participate in the EarlySteps system in order to proceed with the intake process, eligibility process, accessing of information requests and initial IFSP development.

**Deliverable 1.4:** Contractor will request and document receipt of information from appropriate health, medical, educational, and other community services providers with parental consent.

**Outcome 1.5:** Contractor will complete the family interview and developmental screening of each referred child using the Ages and Stages Questionnaire or other tool approved by EarlySteps for children referred for developmental delay.

**Deliverable 1.6:** Contractor will ensure receipt of all relevant information from the family to complete intake process including: Medicaid eligibility verification, insurance and income verification and eligibility for and referral to other community programs/services.

- The SPOE shall verify Medicaid eligibility according to the requirements specified in Chapter 4 of the Practice Manual located at <http://www.earlysteps.dhh.louisiana.gov>.

**Deliverable 1.7:** Contractor will conduct a determination of need coordinated with the EarlySteps central and regional office staff, to access the surrogate parent system. The contractor's role shall include: Submitting any such names and addresses to OCDD for appropriate surrogate parent action, using the state-developed form; assisting OCDD in recruiting surrogate parent volunteers; assisting OCDD with local surrogate parent training if necessary; reviewing the child's situation in regards to whether a parent or guardian is present; and determining if a referred child would benefit from a surrogate parent. Within ten (10) business days of the child's initial referral to the contractor, the contractor must complete and return to OCDD the designated form for each child believed to be eligible to receive a surrogate appointment based on the criteria set forth under 34 CFR 303.406. OCDD shall appoint a surrogate parent and inform the contractor of the appointment.

**Deliverable 1.8:** Contractor will send an acknowledgement of receipt of referral form to referral sources using a standard acknowledgement letter provided by EarlySteps.

**Deliverable 1.9:** Contractor will send certified letters to families when contact attempts fail.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of referrals processed within 3 business days.
- Documentation of percentage of face-to-face interviews with families within 10 business days.
- Documentation of percentage of referral acknowledgements sent within 5 business days.

## ATTACHMENT II

### Statement of Work

- Documentation of percentage of certified letters sent to families after 3 documented contact attempts.
- Reports reflect accuracy of chart data within acceptable parameters as determined in monitoring activities.
- Documentation that parent CQI survey results shall be conducted by the contractor and consistent with targets set for the Louisiana Annual Performance Report (APR) for Indicator 4 for appropriate SPOE region. The APR is posted on the EarlySteps website.

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports
- Review results of parent survey data
- Review chart for required activity documentation

#### **Deliverable 2: Conduct Eligibility Determination Process**

The contractor shall coordinate eligibility determination for each child who enters the process following screening, arrange for the eligibility evaluator, early intervention consultant, family, and other multidisciplinary team members as appropriate, and facilitate the eligibility and/or IFSP team meetings. (Approximately 5,100 eligibility evaluations were coordinated by the SPOEs in 2012-13).

Deliverable 2.1: Contractor will collect relevant assessments and evaluations shall be collected from other sources including the referral source.

Deliverable 2.2: Contractor will assemble appropriate multidisciplinary team to review the referral information and previous assessment/medical information and to participate in the eligibility determination process in accordance with IDEA Part C regulations and EarlySteps policies. This team shall be an in-house multidisciplinary team with experience with evaluating infants and toddlers with disabilities, including the early intervention consultant, and/or shall be selected from the EarlySteps-enrolled early intervention evaluation providers. Payment for the EarlySteps-enrolled evaluators will be billed by them separately according to current EarlySteps process, not through the SPOE contractor.

Deliverable 2.3: Contractor will complete the determination of eligibility as required under IDEA Part C IDEA and state and federal regulations, the EarlySteps Practice Manual and the training modules: Making Informed Decisions, Battelle Developmental-2 Inventory and the Autism Screening module. Autism screening shall be conducted with children 18 months of age and annually thereafter.

Deliverable 2.4: Contractor will conduct referrals to community supports and resources and other services, including referral for EPSDT case management for children not eligible for EarlySteps.

#### **Performance Measures**

Contractor shall provide or maintain:

- The contractor shall meet the timelines specified in the RFP. EIDS captures the data based on SPOE performance. Reports shall be generated based on these activities. In addition the SPOE shall submit a monthly performance report which is included as Attachment XI. Accurate completion of data entry results shall be in successfully issued authorizations.
- Documentation of percentage of children processed from referral to initial IFSP within 45 calendar days, consistent with targets for APR and regional targets as specified in Attachment VIII
- Documentation of parent CQI survey results shall be consistent with targets set in Louisiana APR Indicator 4
- Documentation of identification of children shall be referred to EPSDT by the Bureau of Health Services Financing contractor
- Documentation of the number of eligibility evaluations completed by the multidisciplinary eligibility team

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports and self-assessments
- Review of the results of parent survey data.
- Review of chart for required documentation

## ATTACHMENT II

### Statement of Work

#### **Deliverable 3: Assess family concerns, priorities, and resources and develop initial Individualized Family Service Plan (IFSP)**

The contractor will coordinate the results of the evaluation and assessment process including the family-directed assessment, information collected during the intake process, results of the evaluation and assessment data, using a team-based model, which supports decision-making necessary to develop the IFSP as specified below:

**Deliverable 3.1:** Contractor will ensure that family concerns, priorities and resources are accurately reflected in the IFSP following an assessment conducted as part of the eligibility determination process for families of eligible children.

**Deliverable 3.2:** Contractor will ensure that the family chooses a Family Service Coordinator and Providers from the Service Matrix.

**Deliverable 3.3:** Contractor will ensure that an IFSP team is assembled that consist of the following members:

- Parent(s) of the child
- Other family members, requested by the parent(s)
- An advocate or other person(s) requested by the family,
- The Family Service Coordinator selected by the family at the time of the initial referral, as defined under 34 CFR 303.34 that has been designated responsible for the implementation of the IFSP.
- Person(s) involved in conducting the evaluations and assessments, in-person or through other means, such as participation by telephone conference call or through pertinent records that are available at the meeting. A knowledgeable authorized representative may also attend the meeting as a substitute for the person unable to attend [34 CFR 303.343 (a) (v)], and
- Service providers [34 CFR 303.343 (a) (vi)] as appropriate.

**Deliverable 3.4:** Contractor will complete the initial IFSP within 45 calendar days of referral that identify child and family priorities according to IFSP requirements.

**Deliverable 3.5:** Contractor will complete referrals and transition activities for children referred to the OCDD and the local education agency (LEA) prior to the child's 3rd birthday according to EarlySteps and OCDD policy. Referrals to other resource agencies, such as Families Helping Families, Child Care Resource and Referral Agencies, Head Start and Early Head Start, etc., identified during intake process shall be made.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of completion of activities associated with referral, eligibility determination, and initial IFSP within 45calendar days.
- Documentation that IFSPs are complete and accurately identify child and family outcomes from assessment process
- Documentation of average costs of services within service guidelines  
EarlySteps utilizes Service Guidelines called IFSP Team services process found in Chapter 6 of the Practice Manual which outlines a process based upon 24 hours of services in 6 months. These are the service guidelines referred to in the RFP from which average per child costs can be determined. Average per child costs are typically \$2100 per child for service costs only. Variations from this guideline are allowable according to the defined process. SPOEs shall follow the guidelines in the development of the initial IFSP so that cost effectiveness is demonstrated.
- Documentation of percentage of IFSPs completed which meet targets for Louisiana APR indicators 1, 2, 7, and 8

#### **Monitoring Plan**

The contract monitor will:

- Review of chart for hard copy of IFSP, transition meeting and documentation of referrals sent to OCDD and the LEA
- Review of EIDS data is within established parameters for region according to quarterly EIDS reports
- Review of Corrective Action Plans developed and timely correction of any targets not met
- Review of monthly report submitted to regional and central office staff. Attachment XI of the RFP outlines the data that EarlySteps requires for monthly reporting by the SPOE.
- Review evidence of team process in IFSP development according to signatures of participating members.

## ATTACHMENT II

### Statement of Work

**Deliverable 4: Provide administrative functions related to collecting family financial information, issuing service authorizations and data entry for the Central Finance Office (CFO).**

The contractor will perform activities which support timely service delivery for enrolled infants and toddlers and accurate, timely data reporting as specified below:

**Deliverable 4.1:** Contractor will submit Service authorizations to the CFO within 2 business days of the initial IFSP meeting.

**Deliverable 4.2:** Contractor will ensure that subsequent service authorizations are received from and processed for the FSC and service providers within 3 days following an IFSP review /revision.

**Deliverable 4.3:** Contractor will ensure that each child's Master record is maintained as specified below.

**Deliverable 4.4:** Contractor will ensure that data uploads to CFO are conducted according to the established schedule.

**Deliverable 4.5:** Contractor will ensure that Family income information is collected during the intake process for entry into EIDS and issuance of the Family Cost Participation Notice Statement. Ongoing financial data entry will occur annually as well.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of IFSPs completed which shall meet targets for Louisiana APR Indicators 1, 2, 7, and 8
- Documentation of IFSP services fully authorized for initial service provision shall occur within 30 days of parent consent. Service providers shall be able to provide timely services following access to service authorizations
- Documentation of Family Cost Share shall be accurately calculated requiring a minimum of system adjustments following entry

#### **Monitoring Plan**

The contract monitor will:

- Review chart for master copy of IFSP and other documentation for child master record
- Review provider billing processed by CFO and Medicaid
- Review EIDS data within state-established parameters

**Deliverable 5: Establish and Maintain Record Keeping System according to Federal and State Requirements**

The contractor shall establish and maintain records for each child as well as in support of business operations as specified below:

**Deliverable 5.1:** Contractor will maintain all early intervention records shall be maintained in accordance with the applicable regulations under IDEA, Family Education Rights and Privacy Act (FERPA) and Education Department General Accounting Rules (EDGAR), including hard copy paper file and electronic file record, as described below, regardless of the outcome of the intake process (i.e. eligible or not, accept or decline services, etc.).

**Deliverable 5.2:** Contractor will use the Early Intervention data system software (EIDS) operated by the CFO contractor for accurate data entry as the link between the contractor's records and the EIDS. EIDS is provided at no cost to the contractor.

**Deliverable 5.3:** Contractor will obtain all notices of actions and consents; family support coordination documentation including meeting notifications, IFSP reviews/evaluations, new IFSPs, correspondence, family income information, and releases in the hard copy file record in the format required shall be maintained.

**Deliverable 5.4:** Contractor will utilize required EarlySteps forms for record keeping according to the instructions provided in the EarlySteps Practice Manual.

**Deliverable 5.5:** Contractor will ensure data entry in EIDS is accurate such that OCDD is able to:

- Identify gaps in the local service delivery system and the need for resource development, personnel recruitment, etc.;

## ATTACHMENT II

### Statement of Work

- Conduct financial forecasting, fund acquisition, and other reporting functions accurately
- Verify required system components (e.g. IFSP, releases, consents, etc.) are completed according to state and federal regulations.
- Submit eligibility verification and prior authorization data to Molina the fiscal intermediary for the Bureau of Health Services Financing.

**Deliverable 5.6:** Contractor will ensure all child and family information, medical records, and data elements collected, maintained or used in the administration of the contract from unauthorized disclosure as set forth under 34 CFR 303.406 shall be protected according to:

- Safeguards that restrict the use or disclosure of information concerning children and families to purposes directly connected with the administration of the contract.
- Records, reports, documentation, data, and material developed or acquired by the contractor, as a direct requirement specified in the contract shall become the property of the State of Louisiana.
- Information gained by the contractor as a result of the activities conducted under the contract shall be confidential, and no reports, documentation, or material prepared as required by or obtained through the contract shall be released to the public without the prior written consent of OCDD and must include the identification of EarlySteps, OCDD and the State of Louisiana.
- Signatures obtained from all employees or subcontractors of the contractor agreeing to the confidentiality provisions of the contract as required by the OCDD.

**Deliverable 5.7:** Contractor will maintain financial, time, and accounting records and evidence pertaining to the contract in accordance with generally accepted accounting principles and other procedures as specified by DHH/OCDD. These records must be made available to DHH/OCDD, and/or its designees, and the legislative auditor during the contract period, any renewal period, and for the period of time specified below for retention of records.

**Deliverable 5.8:** Contractor will securely store books, records, evidence, and other documents relevant to the contract for a period of four (4) years after final payment and the completion of an audit (if an audit is performed). Any records or documents involved in, related to, or required for any litigation, claim, negotiation, audit, or other such action must be retained until the resolution of the action, or until four years have passed after final payment and completion of any required audit, whichever is later. The contractor shall allow authorized representatives of the State of Louisiana agencies and the federal government to inspect these records upon request.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of records is complete, accurate and meets Federal and State Requirements.
- Evidence that hard copy documentation shall be consistent with EIDS data.
- Documentation of records are maintained according to the required timelines

#### **Monitoring Plan**

The contract monitor will:

- Review charts
- Conduct agency Audits
- Review Data Report

#### **Deliverable 6: Hire and Train staff to meet functions of SPOE office (see Attachment VI for Job Descriptions)**

The Contractor will conduct activities which meet personnel requirements and needs of the region as specified below. Key personnel commitments made in the contract shall only be changed with prior written approval of DHH/OCDD. The contractor shall be responsible for the training and education of new personnel at the contractor's expense. DHH/OCDD shall not be liable for any cost related to the training or education of new or substitute staff.

**Deliverable 6.1:** Contractor will hire personnel who will demonstrate effective service provision as required in the contract and meet qualifications specified.

**Deliverable 6.2:** Contractor will hire appropriate number of staff necessary to provide all required services.

**Deliverable 6.3:** Contractor will hire staff members that meet specified qualifications.

**Deliverable 6.4:** Contractor will provide additional necessary support (such as data support) to assist the Intake Service Coordinators in providing the services required herein.

## ATTACHMENT II

### Statement of Work

**Deliverable 6.5:** Contractor and/or sub-contractor will, if requested by DHH, provide all necessary authorizations for the background checks for all personnel. The contractor must arrange for background checks for required staff according to requirements of the Department of Children and Family Services. This requirement states that an employee or subcontractor of the contractor must pass a background check prior to employment and or initiation of a contract and every three years thereafter or according to the requirements of RS 49:950 et seq. (The State reserves the right to conduct a background check on any contractor or sub-contractor personnel).

#### Performance Measures

Contractor shall provide or maintain:

- Supporting documentation that all staff meets specified qualifications.
- Documentation of adequate staffing of program results in timeline requirements being met according to APR Indicators 1, 7, and 8.

#### Monitoring Plan

The contract monitor will:

- Review Charts -Personnel files
- Review EIDS reports
- Review Staff Training Records
- Review documentation of Verification of Background Checks

**Deliverable 7: Ensure that all licensing and training requirements are met according to the *Case Management Services Provider Manual*, reissued 7/01/2002.**

The contractor will arrange and/or provide case management training and EarlySteps training as specified below:

**Deliverable 7.1:** Contract will ensure that each Intake Service Coordinator and Intake Service Coordinator/Early Intervention Consultant-Supervisor complete required licensing and EarlySteps training as specified below and participate in any required meetings. In addition, the intake service coordinators must adhere to the requirements of the EarlySteps Practice Manual.

EarlySteps Training Requirements shall include the following:

- Module 1: Orientation—EarlySteps: A New Look
- Module 2: Evaluation and Assessment—Making Informed Decisions on-line module and with a face-to-face component (when available) through EarlySteps
- Module 3: Spectrum of Child Development
- Module 4: Family-Centered Practices
- Module 5: Introduction to Teaming Practices
- Module 6: Introduction to the Individualized Family Services Plan on-line and Individualized Family Service Plan Process-a face-to-face component, when available.
- Module 7: Concerns, Priorities and Resource Process, a face-to-face training activity, when available
- Module 8: Talking to Families about their Rights, an online module
- Face-to-Face Orientation to EarlySteps by Regional Coordinator
- Technical Assistance provided at a minimum of 1 hour per month with the Regional Coordinator in region served; meetings may increase based on the SPOE needs. All SPOE staff will be required to attend scheduled meetings.
- SPOE software training
- Additional training as required by DHH/OCDD

**Additional Case Management Licensing Training Requirements:**

Orientation- at least sixteen (16) hours must be provided to all staff, volunteers, and students within five (5) working days of employment. A minimum of eight (8) hours of the orientation training must cover orientation to early intervention including, but not limited to, specific service needs and resources. This orientation must include, at a minimum:

- Case Management Provider policies and procedures.
- Medicaid and other applicable DHH policies and procedures.
- Confidentiality.
- Documentation in case records.
- Parents' Rights under IDEA Part C.
- Recipient rights protection and reporting of violations.
- Recipient abuse and neglect reporting policies and procedures.
- Recognizing and defining abuse and neglect.
- Emergency and safety procedures.



## ATTACHMENT II

### Statement of Work

- Data management and record keeping.
- Infection control and universal precautions.
- Working with the early intervention population.
- Professional ethics.
- Outcome measures.

Deliverable 7.2: Contractor will ensure that in addition to the required sixteen (16) hours of orientation, all new employees without documented training must receive an additional minimum sixteen (16) hours of training during the first ninety (90) calendar days of employment. This training must be related to the population of infants and toddlers with disabilities to be served, must include specific knowledge, skills, and techniques, and must include the training modules listed above.

Deliverable 7.3: Contractor will ensure that an individual with demonstrated knowledge of both the training topics and the target population provide this training. This training must include the following at a minimum:

- Assessment techniques.
- Support and service planning.
- Support and service planning for children with complex medical needs
- Resource identification.
- Interviewing and interpersonal skills.
- Data management and record keeping.
- Communication skills
- Cultural awareness.
- Personal outcome measures.

Deliverable 7.4: Contract will ensure that new employees do not assume service coordinator responsibility until the orientation is satisfactorily completed. This additional training may be counted as part of the required 40 annual hours. The following is a list of suggested additional topics for training:

- Nature of illness or disability, including symptoms and behavior.
- Pharmacology.
- Potential array of services for the population.
- Building natural support system.
- Family dynamics.
- Developmental life stages.
- First aid/CPR.
- Signs and symptoms of mental illness, alcohol, and drug addiction, mental retardation/developmental disabilities and head injuries.
- Monitoring techniques.
- Advocacy.
- Behavior management techniques.
- Values clarification/goals and objectives.
- Available community resources.
- Cultural diversity.
- Health management.
- Team building/interagency collaboration.
- Transition/closure.
- Facilitating team meetings.
- Stress and time management.
- Legal issues.
- Outcome measures.

Deliverable 7.5: Contractor will ensure that individuals who supervise Intake Service Coordinators complete a minimum of 40 hours of training a year. Suggested topics for supervisory training include:

- Professional ethics
- Process for interviewing, screening, and hiring staff
- Orientation/in service training of staff
- Evaluating staff
  - Approaches to supervision
  - Managing caseload size
  - Conflict resolution
  - Documentation
  - Time management

## ATTACHMENT II

### Statement of Work

The contractor shall print EarlySteps Practice Manual and any updates and shall make them available to all of the contractor's staff. Verification of training on the program practice manual shall be documented by the contractor. The manual is available on the website at <http://www.earlysteps.dhh.louisiana.gov/>.

#### Performance Measures

Contractor shall provide or maintain:

- Documentation of personnel records that include - Time, date, trainer, trainer's qualifications and agenda signed by supervisor, documentation of training provided by outside entities or organizations to include certificate of attendance signed by trainer or training organizations.

#### Monitoring Plan

The contract monitor will:

- Review Personnel File
- Review attendance records
- Review Training and Supervision Logs

#### Deliverable 8: Ensure quality of data reporting and quality assurance

The contractor will develop and implement quality management strategies which assure quality of contractor and EarlySteps system implementation and accuracy of data entry and reporting as follows:

Deliverable 8.1: Contractor will develop written procedures for performance of the services, as required herein, within 90 calendar days of the initiation of the contract which reflect provisions of the EarlySteps system in a prompt, professional, family-centered, equitable, consistent, and culturally competent manner that ensures:

- Each referred child shall be guaranteed equal and timely access to the services available through the EarlySteps system or referred to other appropriate services, regardless of the nature of the child's disability or the degree of disability, family educational/socioeconomic status, primary language or geographic location.
- Families shall receive accurate and timely information, knowledge of choices or options available, and shall be given an explanation of their rights, opportunities and responsibilities under both Part C federal law and state law.
- Collaborative relationships with referring agencies, providers and other community agencies are developed which support the EarlySteps team-based service delivery model.
- Access for children and their families to systems and services that will assist in meeting their needs including those related to the child's developmental concerns as well as enhancing the family's capacity in meeting the needs of their child.
- Confidentiality of data, including medical records, payment information, child and family information, and early intervention service records shall be maintained
- Data shall be entered accurately and in a timely manner
- A written plan for conducting a self-evaluation and report findings to OCDD shall be developed and implemented by the Contractor throughout the Contractor's organization.
- A written approved Quality Enhancement Plan that engages in learning or collecting performance information to determine how well they are meeting the Contractor's goals; responding or acting in ways to improve performance, implementing or activating a plan that has well defined goals and objectives, and evaluating and monitoring the implementation of the quality project

Deliverable 8.2: Contractor will ensure that data management results in accurate data reporting which meets state and federal requirements such that:

- Procedures which ensure confidentiality of all contents including medical records, payment information, child and family information, and early intervention service records shall be implemented.
- Reporting requirement established by OCDD including monthly reports, corrective action plans, self-assessments and Individual Family Service Plans (IFSPs) shall be met.
- Procedures shall ensure timely, accurate input of data into EIDS.

#### Performance Measures

Contractor shall provide or maintain:

Documentation of policy manual development within 90 days of contract initiation which shall include, but shall not be limited to, the following:

- Anti-discrimination
- Evaluations
- Promotion

## ATTACHMENT II

### Statement of Work

- Disciplinary actions
- Termination
- Employee grievances
- Continuous quality management
- Training requirements

A written Quality Enhancement Plan must be developed within 90 days of contract initiation and approved by OCDD which shall include:

- Contractor's vision and mission
- Establishing a Quality Council
- Establishing an Organizational Infrastructure to Support Quality QM Policy and procedures
- Evaluating Fidelity of Implementation of the Contractor's plan and updates
- Quality management committee which includes stakeholders
- Data collection and analysis
- Procedures for conducting self-evaluation and other quality enhancements and procedures to report findings to OCDD according to established guidelines
- Training
- Procedures for determination of consumer satisfaction and means to address concerns identified

#### **Monitoring Plan**

The contract monitor will:

- Review policy manuals and quality assurance guidelines
- Review data reporting to ensure it meets schedules and results within expected parameters

DHH Contract Budget Detail

FY 14/15

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Director/EI Consultant/Supervisor	52.56	173	9,093	100	0	9,093
Intake Coordinator	12.31	346	4,259	100	0	4,259
Intake Coordinator	24.32	346	8,415	100	0	8,415
Intake Coordinator	24.32	346	8,415	100	0	8,415
Intake Coordinator	23.68	346	8,193	100	0	8,193
Intake Coordinator	23.68	346	8,193	100	0	8,193
Intake Coordinator	23.68	346	8,193	100	0	8,193
Data Management/Admin. Clerk	18.54	346	6,415	100	0	6,415
Data Management/Admin. Clerk	18.54	346	6,415	100	0	6,415
Total			67,591		0	67,591

Justification

Personnel cost for Region 4. Director/EI Consultant/Supervisor is .5 FTE on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Medical	8,867	100	0	8,867
FICA	5,180	100	0	5,180
FUTA	176	100	0	176
LAUE	169	100	0	169
Retirement IRA	2,709	100	0	2,709
			0	0
			0	0
			0	0
Total	17,101		0	17,101

Justification

9 staff benefits to include state and federally required items such as FICA and Medicare. Includes other benefits such as health and 401K, etc. Related benefits represents 25.301%.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Director/EI Consultant/Supervisor	891	100	0	891
Intake Coordinator	891	100	0	891
Intake Coordinator	891	100	0	891
Intake Coordinator	891	100	0	891
Intake Coordinator	891	100	0	891
Intake Coordinator	891	100	0	891
Intake Coordinator	891	100	0	891
			0	0
			0	0
Total	6,237		0	6,237

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to all parishes in Region 4.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3* Requested From DHH</b>
Office rental (\$1100 x 2)	2,200	100	0	2,200
Utilities (\$533.70 x 2)	1,067	100	0	1,067
Phone (\$831.66 x 2)	1,663	100	0	1,663
Liability Insurance (\$631.25 x 2)	1,263	100	0	1,263
Workers Comp. (\$441.88 x 2)	884	100	0	884
Postage (\$612.30 x 2)	1,225	100	0	1,225
Copier Rental (\$455.87 x 2)	912	100	0	912
			0	0
			0	0
<b>Total</b>	<b>9,214</b>		<b>0</b>	<b>9,214</b>

Justification

Office space rental, copier services, bulk mailing, telephone, cell phones, etc. are required for daily operation. Also includes liability and workers comp. insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Folders and labels (\$72.85 x 2)	146	100	0	146
Pens, pencils, paper, drives, etc. (\$104.50 x 2)	209	100	0	209
Envelopes for mailings (\$62.75 x 2)	126	100	0	126
Toners for printers (\$425.50 x 2)	851	100	0	851
Computer Supplies/Virus Protection (299.95 x 2)	600	100	0	600
			0	0
			0	0
			0	0
<b>Total</b>	<b>1,932</b>		<b>0</b>	<b>1,932</b>

Justification

Purchase of folders, pens, pencils, paper clips, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Interpreter (\$90.00 x 2)	180	100	0	180
		0	0	0
		0	0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>180</b>		<b>0</b>	<b>180</b>

Justification

Meet state contract audit requirements. Staff training as required.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
	0		0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. costs	12,271	100	0	12,271
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
Total	12,271		0	12,271

Justification

Administration cost represents 12% of total contract.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification





DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: First Steps Referral and Consulting, LLC FROM: 5/01/2015 TO: 06/30/2015

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	67,591	0	67,591
RELATED BENEFITS	(41)	17,101	0	17,101
TRAVEL	(12)	6,237	0	6,237
OPERATING SERVICES	(13)	9,214	0	9,214
SUPPLIES	(14)	1,932	0	1,932
PROFESSIONAL SVCS	(15)	180	0	180
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	12,271	0	12,271
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		114,526	0	114,526

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment 111  
FY 15/16

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Director/EI Consultant/Supervisor	52.56	1,040	54,662	100	0	54,662
Intake Coordinator	12.3	2,080	25,584	100	0	25,584
Intake Coordinator	24.32	2,080	50,586	100	0	50,586
Intake Coordinator	24.32	2,080	50,586	100	0	50,586
Intake Coordinator	23.68	2,080	49,254	100	0	49,254
Intake Coordinator	23.68	2,080	49,254	100	0	49,254
Intake Coordinator	23.68	2,080	49,254	100	0	49,254
Data Management/Admin. Clerk	18.54	2,080	38,563	100	0	38,563
Data Management/Admin. Clerk	18.54	2,080	38,563	100	0	38,563
Total			406,306		0	406,306

Justification

Personnel cost for Region 4. Director/EI Consultant/Supervisor is .5 FTE on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Medical	53,201	100	0	53,201
FICA	31,083	100	0	31,083
FUTA	1,056	100	0	1,056
LAUE	1,016	100	0	1,016
Retirement IRA	16,252	100	0	16,252
			0	0
			0	0
			0	0
Total	102,608		0	102,608

Justification

9 staff benefits to include state and federally required items such as FICA and Medicare. Includes other benefits such as health and 401K, etc. Related benefits represents 25.2539%.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Director/EI Consultant/Supervisor	5,345	100	0	5,345
Intake Coordinator	5,345	100	0	5,345
Intake Coordinator	5,345	100	0	5,345
Intake Coordinator	5,346	100	0	5,346
Intake Coordinator	5,346	100	0	5,346
Intake Coordinator	5,346	100	0	5,346
Intake Coordinator	5,346	100	0	5,346
			0	0
			0	0
Total	37,419		0	37,419

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to all parishes in Region 4.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Office rental (\$1100 x 12)	13,200	100	0	13,200
Utilities (\$533.70 x 12)	6,404	100	0	6,404
Phone (\$831.66 x 12)	9,980	100	0	9,980
Liability Insurance (\$631.25 x 12)	7,575	100	0	7,575
Workers Comp. (\$441.88 x 12)	5,303	100	0	5,303
Postage (\$612.30 x 12)	7,348	100	0	7,348
Copier Rental (\$455.87 x 12)	5,470	100	0	5,470
			0	0
			0	0
<b>Total</b>	<b>55,280</b>		<b>0</b>	<b>55,280</b>

Justification

Office space rental, copier services, bulk mailing, telephone, cell phones, etc. are required for daily operation. Also includes liability and workers comp. insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Folders and labels (\$72.85 x 12)	874	100	0	874
Pens, pencils, paper, drives, etc. (\$104.50 x 12)	1,254	100	0	1,254
Envelopes for mailings (\$62.75 x 12)	753	100	0	753
Toners for printers (\$425.50 x 12)	5,106	100	0	5,106
Computer Supplies/Virus Protection (299.95 x 12)	3,599	100	0	3,599
			0	0
			0	0
			0	0
<b>Total</b>	<b>11,586</b>		<b>0</b>	<b>11,586</b>

Justification

Purchase of folders, pens, pencils, paper clips, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Interpreter (\$90.00 x 12)	1,080	100	0	1,080
Training (\$166.67 x 12)	2,000	100	0	2,000
Audit (\$541.67 x 12)	6,500	100	0	6,500
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>9,580</b>		<b>0</b>	<b>9,580</b>

Justification

Meet state contract audit requirements. Staff training as required.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
	0		0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. costs	74,733	100	0	74,733
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
Total	74,733		0	74,733

Justification

Administration cost represents 12% of total contract.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification

### Object Detail

<b>0</b>	<b>(Enter Cat 2 name)</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
		<b>0</b>		<b>0</b>	<b>0</b>
<b>Total</b>		<b>0</b>		<b>0</b>	<b>0</b>

### Justification



CONTRACTOR: First Steps Referral and Consulting, LLC

FROM: 7/01/2015

TO: 06/30/2016

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	406,306	0	406,306
RELATED BENEFITS	(41)	102,608	0	102,608
TRAVEL	(12)	37,419	0	37,419
OPERATING SERVICES	(13)	55,280	0	55,280
SUPPLIES	(14)	11,586	0	11,586
PROFESSIONAL SVCS	(15)	9,580	0	9,580
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	74,733	0	74,733
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		697,512	0	697,512

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

# DHH Contract Budget Detail

Attachment

111

FY 16/17

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Director/EI Consultant/Supervisor	54.14	1,040	56,306	100	0	56,306
Intake Coordinator	12.68	2,080	26,374	100	0	26,374
Intake Coordinator	25.05	2,080	52,104	100	0	52,104
Intake Coordinator	25.05	2,080	52,104	100	0	52,104
Intake Coordinator	24.39	2,080	50,731	100	0	50,731
Intake Coordinator	24.39	2,080	50,731	100	0	50,731
Intake Coordinator	24.39	2,080	49,254	100	0	49,254
Data Management/Admin. Clerk	19.1	2,080	39,728	100	0	39,728
Data Management/Admin. Clerk	19.1	2,080	39,728	100	0	39,728
Total			417,060		0	417,060

Justification

Personnel cost for Region 4. Director/EI Consultant/Supervisor is .5 FTE on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Medical	55,160	100	0	55,160
FICA	31,704	100	0	31,704
FUTA	1,077	100	0	1,077
LAUE	1,036	100	0	1,036
Retirement IRA	16,578	100	0	16,578
			0	0
			0	0
			0	0
Total	105,555		0	105,555

Justification

9 staff benefits to include state and federally required items such as FICA and Medicare. Includes other benefits such as health and 401K, etc. Related benefits represents 25.3092%.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Director/EI Consultant/Supervisor	5,452	100	0	5,452
Intake Coordinator	5,452	100	0	5,452
Intake Coordinator	5,452	100	0	5,452
Intake Coordinator	5,453	100	0	5,453
Intake Coordinator	5,453	100	0	5,453
Intake Coordinator	5,453	100	0	5,453
Intake Coordinator	5,453	100	0	5,453
			0	0
			0	0
Total	38,168		0	38,168

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to all parishes in Region 4.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Office rental (\$1100 x 12)	13,200	100	0	13,200
Utilities (\$544.41 x 12)	6,533	100	0	6,533
Phone (\$848.30 x 12)	10,180	100	0	10,180
Liability Insurance (\$643.88 x 12)	7,727	100	0	7,727
Workers Comp. (\$450.71 x 12)	5,409	100	0	5,409
Postage (\$624.54 x 12)	7,494	100	0	7,494
Copier Rental (\$464.95 x 12)	5,579	100	0	5,579
			0	0
			0	0
<b>Total</b>	<b>56,122</b>		<b>0</b>	<b>56,122</b>

Justification

Office space rental, copier services, bulk mailing, telephone, cell phones, etc. are required for daily operation. Also includes liability and workers comp. insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Folders and labels (\$74.31 x 12)	892	100	0	892
Pens, pencils, paper, drives, etc. (\$106.59 x 12)	1,279	100	0	1,279
Envelopes for mailings (\$64.01 x 12)	768	100	0	768
Toners for printers (\$434.01 x 12)	5,208	100	0	5,208
Computer Supplies/Virus Protection (305.95 x 12)	3,671	100	0	3,671
			0	0
			0	0
			0	0
<b>Total</b>	<b>11,818</b>		<b>0</b>	<b>11,818</b>

Justification

Purchase of folders, pens, pencils, paper clips, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Interpreter (\$90.00 x 12)	1,080	100	0	1,080
Training (\$166.67 x 12)	2,000	100	0	2,000
Audit (\$552.50 x 12)	6,630	100	0	6,630
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>9,710</b>		<b>0</b>	<b>9,710</b>

Justification

Meet state contract audit requirements. Staff training as required.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
	0		0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. costs	76,612	100	0	76,612
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
Total	76,612		0	76,612

Justification

Administration cost represents 12% of total contract.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification



DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: First Steps Referral and Consulting, LLC FROM: 7/01/2016 TO: 06/30/2017

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	417,060	0	417,060
RELATED BENEFITS	(41)	105,555	0	105,555
TRAVEL	(12)	38,168	0	38,168
OPERATING SERVICES	(13)	56,122	0	56,122
SUPPLIES	(14)	11,818	0	11,818
PROFESSIONAL SVCS	(15)	9,710	0	9,710
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	76,612	0	76,612
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		715,045	0	715,045

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					



# DHH Contract Budget Detail

Attachment **III**

**FY 17/18**

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Director/EI Consultant/Supervisor	55.76	867	48,344	100	0	48,344
Intake Coordinator	13.06	1,734	22,646	100	0	22,646
Intake Coordinator	25.81	1,734	44,755	100	0	44,755
Intake Coordinator	25.81	1,734	44,755	100	0	44,755
Intake Coordinator	25.12	1,734	43,558	100	0	43,558
Intake Coordinator	25.12	1,734	43,558	100	0	43,558
Intake Coordinator	25.12	1,734	42,292	100	0	42,292
Data Management/Admin. Clerk	19.67	1,734	34,108	100	0	34,108
Data Management/Admin. Clerk	19.67	1,734	34,108	100	0	34,108
Total			358,124		0	358,124

Justification

Personnel cost for Region 4. Director/EI Consultant/Supervisor is .5 FTE on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Medical	47,805	100	0	47,805
FICA	27,477	100	0	27,477
FUTA	934	100	0	934
LAUE	898	100	0	898
Retirement IRA	14,367	100	0	14,367
			0	0
			0	0
			0	0
Total	91,481		0	91,481

Justification

9 staff benefits to include state and federally required items such as FICA and Medicare. Includes other benefits such as health and 401K, etc. Related benefits represents 25.5444%.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Director/EI Consultant/Supervisor	4,704	100	0	4,704
Intake Coordinator	4,704	100	0	4,704
Intake Coordinator	4,704	100	0	4,704
Intake Coordinator	4,704	100	0	4,704
Intake Coordinator	4,704	100	0	4,704
Intake Coordinator	4,704	100	0	4,704
Intake Coordinator	4,704	100	0	4,704
			0	0
			0	0
Total	32,928		0	32,928

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to all parishes in Region 4.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Office rental (\$1100 x 10)	11,000	100	0	11,000
Utilities (\$563.65 x 10)	5,637	100	0	5,637
Phone (\$878.28 x 10)	8,783	100	0	8,783
Liability Insurance (\$666.64 x 10)	6,666	100	0	6,666
Workers Comp. (\$466.65 x 10)	4,667	100	0	4,667
Postage (\$646.62 x 10)	6,466	100	0	6,466
Copier Rental (\$481.42 x 10)	4,814	100	0	4,814
			0	0
			0	0
<b>Total</b>	<b>48,033</b>		<b>0</b>	<b>48,033</b>

Justification

Office space rental, copier services, bulk mailing, telephone, cell phones, etc. are required for daily operation. Also includes liability and workers comp. insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Folders and labels (\$76.93 x 10)	769	100	0	769
Pens, pencils, paper, drives, etc. (\$110.36 x 10)	1,104	100	0	1,104
Envelopes for mailings (\$66.27 x 10)	663	100	0	663
Toners for printers (\$449.35 x 10)	4,494	100	0	4,494
Computer Supplies/Virus Protection (316.76 x 10)	3,168	100	0	3,168
			0	0
			0	0
			0	0
<b>Total</b>	<b>10,198</b>		<b>0</b>	<b>10,198</b>

Justification

Purchase of folders, pens, pencils, paper clips, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Interpreter (\$90.00 x 10)	900	100	0	900
Training (\$183.33 x 10)	1,833	100	0	1,833
Audit (\$686.43 x 10)	6,864	100	0	6,864
			0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>9,597</b>		<b>0</b>	<b>9,597</b>

Justification

Meet state contract audit requirements. Staff training as required.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
	0		0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. costs	66,043	100	0	66,043
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
Total	66,043		0	66,043

Justification

Administration cost represents 12% of total contract.

Object Detail

(0)	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification

### Object Detail

<b>0</b>	<b>(Enter Cat 2 name)</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
		<b>0</b>		<b>0</b>	<b>0</b>
<b>Total</b>		<b>0</b>		<b>0</b>	<b>0</b>

### Justification

DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: First Steps Referral and Consulting, LLC FROM: 7/01/2017 TO: 04/30/2018

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	358,124	0	358,124
RELATED BENEFITS	(41)	91,481	0	91,481
TRAVEL	(12)	32,928	0	32,928
OPERATING SERVICES	(13)	48,033	0	48,033
SUPPLIES	(14)	10,198	0	10,198
PROFESSIONAL SVCS	(15)	9,597	0	9,597
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	66,043	0	66,043
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		616,404	0	616,404

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

Part C - System Point of Entry  
Sample Monthly Invoice

Agency Name:  
CFMS #:  
Contact Person:  
Address:

Phone:  
Email:

Month: \_\_\_\_\_

Vendor#: \_\_\_\_\_

Invoice #: \_\_\_\_\_

SPOE Region: \_\_\_\_\_ PROGRAM: EARLYSTEPS

Date: \_\_\_\_\_

Categories	Approved Amount	Previously Billed	Current Expenses	Balance Remaining
Personnel		\$ -	\$ -	\$
Related Benefits		-	-	
Travel		-	-	
Operating Supplies		-	-	
Supplies		-	-	
Professional Services				
Capital Assets		-	-	
Administrative		-	-	
Total		\$ -	\$ -	\$

CONTRACTOR'S CERTIFICATE

"This is to certify that the information contained on this form is true, accurate and complete and that expenditures shown above were made for the furtherance of and in conformity with the contractual agreement with DHH/OCDD."

\_\_\_\_\_  
Signature of Contractor

\_\_\_\_\_  
Date

\_\_\_\_\_  
OCDD Approval Signature

\_\_\_\_\_  
Date

225-342-0095  
Contact Phone #





## **Attachment VI**

1. **Order of Precedence:** The contract shall, to the extent possible, be construed to give effect to all provision contained therein, however, where provisions conflict, the intent of the parties shall be determined by giving a first priority to provisions of the contract excluding the RFP and the proposal; second priority to the provision of the RFP; and third priority to the provisions of the proposal.
2. **Entire Agreement:** This contract, together with the RFP and addenda issued thereto by the Department, the proposal submitted by the contractor in response to the Department's RFP, and any exhibits specifically incorporated herein reference constitute the entire agreement between the parties with respect to the subject matter.



*Referral &  
Consulting*

*Providing Quality Services For Children and Families*

**Exhibit 1**

P.O. Box 12213  
New Iberia, LA 70562

Phone: 337-224-5842  
Fax: 337-359-8747  
1ststep@bellsouth.net

**STATEMENT OF SOLE OWNERSHIP**

I am engaged in business under the name of First Steps Referral and Consulting, LLC  
in the City of New Iberia, State of Louisiana.

I am the sole owner of First Steps Referral and Consulting, LLC, the business so conducted and  
no other person, firm or corporation has any interest therein.

All property in the name of First Steps Referral and Consulting, LLC belongs to me and  
is my sole property.

Signature

A handwritten signature in black ink, which appears to read 'Gary F. Hatcher'. The signature is written over a horizontal line.



# State of Louisiana

## DEPARTMENT OF HEALTH AND HOSPITALS Office for Citizens with Developmental Disabilities

March 25, 2015

Ms. Pamela Bartfay-Rice, Esq.  
Director  
Divisions of Administration  
Office of Contractual Review  
P.O. Box 94095  
Baton Rouge, LA 70804-9095

Dear Ms. Rice:

Please consider this justification for the Department of Health and Hospitals, Office for Citizens with Developmental Disabilities to enter in to a multi-year contract with the ten System Point of Entry Contractors selected through the RFP process:

- Region 1 – Easter Seals Louisiana (CFMS – 735114)
- Region 2 – Southeast Area Health Education Center (CFMS – 735115)
- Region 3 – Southeast Area Health Education Center (CFMS – 735268)
- Region 4 – First Steps Referral and Consulting, LLC (CFMS – 735229)
- Region 5 – First Steps Referral and Consulting, LLC (CFMS – 735210)
- Region 6 – Easter Seals Louisiana (CFMS – 735219)
- Region 7 – Families Helping Families at the Crossroads (CFMS – 735293)
- Region 8 – Easter Seals Louisiana (CFMS – 735294)
- Region 9 – Southeast Area Health Education Center (CFMS – 735292)
- Region 10 – Southeast Area Health Education Center (CFMS – 735213)

These contractors provide services for the EarlySteps system which are required by the Federal IDEA, Part C program with the US Department of Education. A multi-year contract supports the continuity of the required services: intake, initial eligibility determination, intake service coordination, as well as hosting the regional data systems for the State system for 10,000 annual referrals, and service authorizations for approximately 9300 children each year.

Funds for the first fiscal year of the contract are available and payment and performance for subsequent fiscal years shall be subject to the availability of funds.

The estimated requirements covering the period of the contract are reasonably firm and continuing and such a contract will serve the best interests of the State by encouraging effective competition or otherwise promoting economies in state procurement through the continuity of services provided over multiple years.

If further information is needed, please call (342-0095).

Sincerely,

  
Brenda Sharp,  
Program Manager

## SUMMARY OF INFORMATION

<b>CONTRACTOR NAME</b> First Steps Referral and Consulting, LLC	<b>Amount</b> <b>\$ 2,143,487.00</b>
<b>CONTRACT DATES</b> <b>Effective Date</b> 05-01-2015 <b>Termination Date</b> 04-30-2018	<b>BA-22 ATTACHED</b> <input checked="" type="checkbox"/>

Certification Requirements: (Check Applicable Items)

- ☒ 1. Either no employee of this agency is both competent and available to perform the services called for by the proposed contract and/or the services called for are not the type readily susceptible of being performed by persons who are employed by the State on a continuing basis.
- ☒ 2. The services are not available as a product of a prior or existing professional, personal contract.
- ☒ 3. When applicable, the requirements for consultant contracts, as provided for under R.S. 39:1503-1507, have been complied with (proper documentation should be provided).
- ☒ 4. The using agency has developed and fully intends to implement a written plan providing for the assignment of specific using personnel to a monitoring and liaison function. Identify name of individual of staff unit responsible for monitoring this contract:

<b>Name</b> Brenda Sharp, Program Manager	<b>Phone No.</b> (225)342-0095
<b>Location</b> 628 N. 4th Street P.O. Box 3117 Bin 21 Baton Rouge, LA 70821-3117	

**Summary of Monitoring Plan:** (This must include periodic review of specified reports, documents, exception reporting, or other indicia or performance, etc.). Additional pages may be attached if necessary.

Monitoring will be achieved by receipt of all deliverables as listed on Attachment II including the review of monthly reports submitted and reports obtained through the central data system which will be monitored by the EarlySteps Program Manager.

The ultimate use of the final product of the services: (Specify)

Identify EarlySteps eligible infants and toddlers served under the Part C system thus meeting the federal benchmark of a least 2% served statewide.

- ☒ 5. Respond to questions A or B on all contracts except those funded by "Other Charges" (3600 series) of Budget:
- A. What critical services will go unprovided and to whom?
- Early intervention services would not be available to children in need.
- B. How many hours will the contractor have to work? N/A
- ☒ 6. Completed monitoring report will be submitted to the Office of Contractual Review within **60** days after termination of contract. **(For Personal, Professional, Consulting contracts exceeding \$20,000)**
- ☒ 7. The services have not been artificially divided to as to constitute a small purchase (not exceeding \$20,000).
- ☒ 8. A cost-benefit analysis has been conducted which indicates that obtaining such services from the private sector is more cost-effective than providing such services the agency itself or by any agreement with another state agency and includes both a short-term and long-term analysis and is available for review.
- ☒ 9. The cost basis for the proposed contract is justified and reasonable.
- ☒ 10. A description of the specific goals and objectives, deliverables, performance measures and a plan for monitoring the services to be provided are contained in the proposed contract.

**PRIOR CONTRACT INFORMATION MUST BE FILLED OUT (IF NO PRIOR CONTRACT PUT N/A)**

<b>PRIOR YEAR SERVICES PROVIDED BY (Contractor Name):</b> First Steps Referral and Consulting, LLC			
<b>CFMS#:</b> 730535	<b>DHH#:</b> 60299	<b>EFF:</b> 05-30-2014	<b>TERM:</b>
<b>AMOUNT:</b> \$ 600,023.00	<b>PREVIOUSLY ISSUED UNDER RFP?</b> IF YES, DATE: <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO      DATE: 06-02-2011		

YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Contains a date upon which the contract is to begin and upon which the contract will terminate.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Contains a description of the work to be performed and objectives to be met.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Contains an amount and time payment to be made.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Contains a description of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Contains a date of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. When a contract includes travel and/or other reimbursable expenses, it contains language to effect the following:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	A. Travel and other reimbursable expenses shall constitute part of the total maximum payable under the contract; (or)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	B. No more than (a certain sum) of the total maximum amount payable under this contract shall be paid or received as reimbursement for travel and other reimbursable expenses; (and)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	C. Travel expenses shall be reimbursed in accordance with Division of Administration Policy and Procedure memorandum 49 (The State General Travel Regulations).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. Contains the responsibility for payment of taxes.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	8. Contains the circumstances under which the contract can be terminated either with or without cause and contains the remedies for default.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	9. Contains a statement giving the Legislative Auditor the authority to audit records of the individual(s) or firm(s).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10. Contains an assignability clause as provided for under LAC-4:4.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	11. Budget Form BA-22, fully completed and attached to back of each contract.

**DETERMINATION OF RESPONSIBILITY**

YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Had adequate financial resources for performance, or has the ability to obtain such resources as required during performance.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Has the necessary experience, organization, technical qualifications, skills and facilities or has the ability to obtain them (including probable subcontractor arrangements).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Is able to comply with the proposed or required time of delivery or performance schedule.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Has a satisfactory record of integrity, judgment and performance (contractors which are seriously delinquent in current contract performance, considering the number of contracts and the extent of delinquencies of each, shall in the absences of evidence to the contrary or compelling circumstances presumed to be unable to fulfill this agreement).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Is otherwise qualified and eligible to receive an award under applicable laws and regulations.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. If a contract for consulting services is for \$50,000 or more: The head of the using agency has prepared, signed and placed in the contract file a statement of the facts on which a determination of responsibility of offer or potential subcontractors have been filed with the statement.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. On subcontracting, it has been established that contractors recent performance history indicates acceptable subcontracting systems; or, major subcontractors have been determined by the heads of the using agency to satisfy this standard

**R.F.P. CONSULTING CONTRACTS FOR \$50,000 OR MORE; UNLESS DETERMINED EXEMPT AS PER ACT 673 of 1985, R.S. 39:1494.1 (A).**

☐ Contract file attached and this includes:

☐ Criteria for selection ☐ Proposals ☐ Pertinent Documents ☐ Selection Memorandum

**PROGRAM / FACILITY SIGNATURE**

**ASSISTANT SECRETARY OR DESIGNEE SIGNATURE**

OFFICE  
OCDD/EarlySteps

PHONE NUMBER  
(225)342-5715

OFFICE  
Office for Citizens with Developmental Disabilities



STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION  
BA-22 (REV. 09/2005)

Date: 4/2/2015 Dept/Budget Unit: 09/340/2000  
Agency Name: Office for Citizens with Developmental Disabi OCR/CFMS Contract #: 735229  
Agency BA-22 #: 31 Agency Contract #: 060725

Fiscal Year for this BA-22: 2014-2015 BA-22 Start/End Dates: 05/01/15 06/30/15  
(yyyy-yy) (Start Date) (End Date)

Multi-year Contract (Yes/No): yes If "Yes", provide contract dates:  
05/01/14 04/30/18  
(Start Date) (End Date)

First Steps Referral and Consulting, LLC 55082549900  
(Contractor/Vendor Name) (Contractor/Vendor No.)

Contractor will provide System Point of Entry services with the Region 4 Parishes for EarlySteps.  
(Provide a statement of "Services Provided")

Contract Amendment (Yes/No): NO Amendment Start/End Dates: \_\_\_\_\_  
(Start Date) (End Date)  
Contract Cancellation (Yes/No): NO Date of Cancellation: \_\_\_\_\_

(Provide rationale for amendment or cancellation)

This information is to be provided at the Agency Level				
MEANS OF FINANCING	AMOUNT			
	Current Year	%	Total Contract	%
State General Fund	\$0	0%	\$0	0.0%
Interagency Transfers	\$0	0%	\$0	0.0%
Fees and Self Gen.	\$0	0.0%	\$0	0.0%
Statutory Dedication	\$0	0.0%	\$0	0.0%
Federal	\$114,526	100%	\$2,143,487	100.0%
TOTALS	\$114,526	100%	\$2,143,487	100.0%

\*Specify Source (i.e., grant name, fund name, IAT sending agency and revenue source, fee type and source, etc.)

Are revenue collections for funds utilized above in line with budgeted amounts? (Yes/No)

If not, explain.

This information is to be provided at the Agency Level	
Name of Object Code/Category:	Miscellaneous Charges
Object Code/Category Number:	3655
Amount Budgeted:	\$15,496,069
Amount Previously Obligated:	\$6,237,667
Amount this BA-22:	\$114,526
Balance:	\$9,143,876

The approval of the aforementioned contract will not cause this agency to be placed in an Object Category deficit.

Agency Contact: Clent Goff  
Name: Clent Goff  
Title: Program Manager 1  
Phone: (225) 342-0943

Reviewed/Approved By: Geetha Kumar  
Name: Geetha Kumar  
Title: Program Manager 3  
Phone: (225) 342-8725

FOR AGENCY USE ONLY

AGENCY	PROGRAM	ACTIVITY	ORGANIZ.	OBJECT	REPT CAT	AMOUNT
340	2000		8412	3655	8107	\$114,526.00

AMENDMENT TO  
AGREEMENT BETWEEN STATE OF LOUISIANA  
LOUISIANA DEPARTMENT OF HEALTH

Amendment #: 1  
LAGOV#: 2000126733  
LDH #: 060735

(Regional/ Program/ Facility)	Office for Citizens with Developmental Disabilities	Original Contract Amt	\$ 1,379,398.00
	EarlySteps, Louisiana's Early Intervention System	Original Contract Begin Date	05-01-2015
	AND	Original Contract End Date	04-30-2018
	First Steps Referral and Consulting , LLC	RFP Number:	305PUR-DHHRFP-SPOE
	Contractor Name		

AMENDMENT PROVISIONS

Change Contract From: From Maximum Amount: \$ 1,379,398.00 Current Contract Term: 05/01/2015 - 04/30/2018

CF-1 Block 13 Maximum Contract Amount \$1,379,398 FY15 \$72,976, FY16 \$445,176, FY17 \$458,111, FY18 \$403,135

Block 14 Terms of Payment: See Attachment III: Budget

Change Contract To: To Maximum Amount: \$ 2,332,022.00 Changed Contract Term: 5/01/2015 - 4/30/2020

CF-1 Block 13 Maximum Contract Amount \$2,332,022 FY15 \$72,976, FY16 \$445,176, FY17 \$458,111, FY18 \$403,135 (10 month), FY 18 \$78,453 (2 month), FY19 \$471,036, FY20 \$403,135

Block 14 Terms of Payment: See Attachment III: Budget

Justifications for amendment:

The current contract, which was executed via RFP# 305PUR-DHHRFP-SPOE-2014-OCDD on May 1, 2015, expires on April 30, 2018. The RFP included an option to extend the resulting contract from 3 to 5 years. Since 2008, the RFP has been issued 3 times with no other qualified applicants competing. LDH/OCDD is satisfied with the performance of First Steps Referral and Consulting, LLC, in meeting all deliverables and would like to exercise the option to extend the contract the allowable 24 months, in the Region 5 parishes for EarlySteps, the Louisiana's Early Intervention program.

This Amendment Becomes Effective: 05-01-2018

This amendment contains or has attached hereto all revised terms and conditions agreed upon by contracting parties.

IN WITNESS THEREOF, this amendment is signed and entered into on the date indicated below.

CONTRACTOR	STATE OF LOUISIANA LOUISIANA DEPARTMENT OF HEALTH
First Steps Referral and Consulting , LLC	Secretary, Louisiana Department of Health or Designee
CONTRACTOR SIGNATURE	SIGNATURE
DATE	DATE
PRINT NAME	NAME
Mary F. Hockless	Mark A. Thomas
CONTRACTOR TITLE	TITLE
Executive Director	Assistant Secretary
	OFFICE
	Office for Citizens with Developmental Disabilities
	PROGRAM SIGNATURE
	DATE
	NAME

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	55.76	173	9,646	100	0	9,646
EI Consultant and/or Supervisor	30.97	346	10,716	100	0	10,716
Intake Coordinator	25.81	346	8,930	100	0	8,930
Intake Coordinator	13.01	346	4,501	100	0	4,501
Intake Coordinator	25.12	346	8,692	100	0	8,692
Data Management/Admin Clerk	19.67	346	6,806	100	0	6,806
Admin Clerk (Part-time)	10.2	173	1,765	100	0	1,765
			0	100	0	0
			0		0	0
Total			51,056		0	51,056

Justification

Personnel cost for Region 5. Director is .5 FTE on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Medical	4,153	100	0	4,153
FICA	3,913	100	0	3,913
FUTA	133	100	0	133
LAUE	128	100	0	128
Retirement IRA	2,042	100	0	2,042
			0	0
			0	0
Total	10,369		0	10,369

Justification

5 staff benefits to include state and federally required items such as FICA and Medicare. Includes other benefits such as health and 401K. Related benefits represents 20.31%.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
EI Consultant and/or Supervisor	602	100	0	602
Intake Coordinator	602	100	0	602
Intake Coordinator	602	100	0	602
Intake Coordinator	602	100	0	602
			0	0
			0	0
			0	0
Total	2,408		0	2,408

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore four staff will travel to 5 parishes in Region 5.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (83.20 x 2)	166	100	0	166
Telephone - Office (\$195.87 x 2)	392	100	0	392
Cell (\$181.90 x 2)	364	100	0	364
Insurance - Liability (\$673.24 x 2)	1,346	100	0	1,346
Insurance - Workers Comp. (\$471.27 x 2)	943	100	0	943
Postage (\$189.31 x 2)	379	100	0	379
Copier Rental (\$319.80 x 2)	640	100	0	640
			0	0
			0	0
<b>Total</b>	<b>4,230</b>		<b>0</b>	<b>4,230</b>

Justification

Bulk mailing, telephone, cell phones, etc. are required for daily operation. Also includes liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Folders and labels (\$34.85 x 2)	70	100	0	70
Pens, pencils, papers, drives, etc. (\$28.25 x 2)	57	100	0	57
Envelopes for mailings (\$13.25 x 2)	27	100	0	27
Toner for printers (\$98.25 x 2)	197	100	0	197
Computer supplies/Virus protection (\$50 x 2)	100	100	0	100
			0	0
<b>Total</b>	<b>451</b>		<b>0</b>	<b>451</b>

Justification

Purchase of folders, copy paper, pens, pencils, staples, etc. are necessary supplies used in daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Interpreter (\$90.00 x 2)	180	100	0	180
Training (\$166.67 x 2)	333	100	0	333
Audit (\$510 x 2)	1,020	100	0	1,020
			0	0
<b>Total</b>	<b>1,533</b>		<b>0</b>	<b>1,533</b>

Justification

Meet state contract audit requirements.







LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: First Steps Referral and Consulting, LLC FROM: 5/1/18 TO: 6/30/18

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	51,056	0	51,056
RELATED BENEFITS	(41)	10,369	0	10,369
TRAVEL	(12)	2,408	0	2,408
OPERATING SERVICES	(13)	4,230	0	4,230
SUPPLIES	(14)	451	0	451
PROFESSIONAL SVCS	(15)	1,533	0	1,533
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	8,406	0	8,406
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		78,453	0	78,453

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	55.76	1,040	57,990	100	0	57,990
EI Consultant and/or Supervisor	30.97	2,080	64,418	100	0	64,418
Intake Coordinator	25.81	2,080	53,685	100	0	53,685
Intake Coordinator	13.01	2,080	27,061	100	0	27,061
Intake Coordinator	25.12	2,080	52,250	100	0	52,250
Data Management/Admin Clerk	19.67	2,080	40,914	100	0	40,914
Admin Clerk (Part-time)	10.2	1,040	10,608	100	0	10,608
			0	100	0	0
			0		0	0
Total			306,926		0	306,926

Justification

Personnel cost for Region 5. Director is .5 FTE on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Medical	24,920	100	0	24,920
FICA	23,478	100	0	23,478
FUTA	798	100	0	798
LAUE	767	100	0	767
Retirement IRA	12,251	100	0	12,251
			0	0
			0	0
			0	0
Total	62,214		0	62,214

Justification

5 staff benefits to include state and federally required items such as FICA and Medicare. Includes other benefits such as health and 401K. Related benefits represents 20.27%.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
EI Consultant and/or Supervisor	3,540	100	0	3,540
Intake Coordinator	3,540	100	0	3,540
Intake Coordinator	3,539	100	0	3,539
Intake Coordinator	3,539	100	0	3,539
			0	0
			0	0
Total	14,158		0	14,158

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore four staff will travel to 5 parishes in Region 5.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (83.20 x 12)	998	100	0	998
Telephone - Office (\$195.87 x 12)	2,350	100	0	2,350
Cell (\$181.90 x 12)	2,183	100	0	2,183
Insurance - Liability (\$673.24 x 12)	8,079	100	0	8,079
Insurance - Workers Comp. (\$471.27 x 12)	5,655	100	0	5,655
Postage (\$189.31 x 12)	2,272	100	0	2,272
Copier Rental (\$319.80 x 12)	3,838	100	0	3,838
			0	0
<b>Total</b>	<b>25,375</b>		<b>0</b>	<b>25,375</b>

Justification

Bulk mailing, telephone, cell phones, etc. are required for daily operation. Also includes liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Folders and labels (\$34.85 x 12)	418	100	0	418
Pens, pencils, papers, drives, etc. (\$28.25 x 12)	339	100	0	339
Envelopes for mailings (\$13.25 x 12)	159	100	0	159
Toner for printer (\$98.25 x 12)	1,179	100	0	1,179
Computer supplies/Virus protection (\$50 x 12)	600	100	0	600
			0	0
<b>Total</b>	<b>2,695</b>		<b>0</b>	<b>2,695</b>

Justification

Purchase of folders, copy paper, pens, pencils, staples, etc. are necessary supplies used in daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Interpreter (\$90.00 x 12)	1,080	100	0	1,080
Training (\$166.67 x 12)	2,000	100	0	2,000
Audit (\$510 x 12)	6,120	100	0	6,120
			0	0
<b>Total</b>	<b>9,200</b>		<b>0</b>	<b>9,200</b>

Justification

Meet state contract audit requirements.





LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: First Steps Referral and Consulting, LLC FROM: 7/1/18 TO: 6/30/19

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	306,926	0	306,926
RELATED BENEFITS	(41)	62,214	0	62,214
TRAVEL	(12)	14,158	0	14,158
OPERATING SERVICES	(13)	25,375	0	25,375
SUPPLIES	(14)	2,695	0	2,695
PROFESSIONAL SVCS	(15)	9,200	0	9,200
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	50,468	0	50,468
(Enter Cat 1 name)	(0)			
(Enter Cat 2 name)	(0)			
TOTAL COST		471,036	0	471,036

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					



LDH Contract Budget Detail

Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Program Director	55.76	867	48,344	100	0	48,344
EI Consultant and/or Supervisor	30.97	1,734	53,702	100	0	53,702
Intake Coordinator	25.81	1,734	44,755	100	0	44,755
Intake Coordinator	13.01	1,734	22,559	100	0	22,559
Intake Coordinator	25.12	1,734	43,558	100	0	43,558
Data Management/Admin Clerk	19.67	1,734	34,108	100	0	34,108
Admin Clerk (Part-time)	10.2	1,734	17,687	100	0	17,687
			0	100	0	0
			0		0	0
Total			264,713		0	264,713

Justification

Personnel cost for Region 5. Director is .5 FTE on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Medical	20,767	100	0	20,767
FICA	19,565	100	0	19,565
FUTA	665	100	0	665
LAUE	639	100	0	639
Retirement IRA	10,230	100	0	10,230
			0	0
Total	51,866		0	51,866

Justification

5 staff benefits to include state and federally required items such as FICA and Medicare. Includes other benefits such as health and 401K. Related benefits represents 19.5934.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
EI Consultant and/or Supervisor	3,008	100	0	3,008
Intake Coordinator	3,008	100	0	3,008
Intake Coordinator	3,009	100	0	3,009
Intake Coordinator	3,009	100	0	3,009
			0	0
Total	12,034		0	12,034

Justification

Travel will be reimbursed in accordance with PPm49. Families do not travel to the office, therefore four staff will travel to 5 parishes in Region 5.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (83.20 x 10)	832	100	0	832
Telephone - Office (\$195.87 x 10)	1,959	100	0	1,959
Cell (\$181.90 x 10)	1,819	100	0	1,819
Insurance - Liability (\$673.24 x 10)	6,732	100	0	6,732
Insurance - Workers Comp. (\$471.27 x 10)	4,713	100	0	4,713
Postage (\$189.31 x 10)	1,893	100	0	1,893
Copier Rental (\$319.80 x 10)	3,198	100	0	3,198
			0	0
<b>Total</b>	<b>21,146</b>		<b>0</b>	<b>21,146</b>

Justification

Bulk mailing, telephone, cell phones, etc. are required for daily operation. Also includes liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Folders and labels (\$34.85 x 10)	349	100	0	349
Pens, pencils, papers, drives, etc. (\$28.25 x 10)	283	100	0	283
Envelopes for mailings (\$13.25 x 10)	133	100	0	133
Computer supplies/Virus protection (\$50 x 10)	983	100	0	983
	500	100	0	500
			0	0
<b>Total</b>	<b>2,248</b>		<b>0</b>	<b>2,248</b>

Justification

Purchase of folders, copy paper, pens, pencils, staples, etc. are necessary supplies used in daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Interpreter (\$90.00 x 10)	900	100	0	900
Training (\$166.67 x 10)	1,833	100	0	1,833
Audit (\$510 x 10)	5,202	100	0	5,202
			0	0
<b>Total</b>	<b>7,935</b>		<b>0</b>	<b>7,935</b>

Justification

Meet state contract audit requirements.



### Object Detail

0	(Enter Cat 2 name)	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
<b>Total</b>					

### Justification

LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: First Steps Referral and Consulting, LLC FROM: 7/1/19 TO: 4/30/20

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	264,713	0	264,713
RELATED BENEFITS	(41)	51,866	0	51,866
TRAVEL	(12)	12,034	0	12,034
OPERATING SERVICES	(13)	21,146	0	21,146
SUPPLIES	(14)	2,248	0	2,248
PROFESSIONAL SVCS	(15)	7,935	0	7,935
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	43,193	0	43,193
(Enter Cat 1 name)	(0)			
(Enter Cat 2 name)	(0)			
TOTAL COST		403,135	0	403,135

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

CONTRACT BETWEEN STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS

CFMS: 735210

DHH: 060735

Office for Citizens with Developmental Disabilities

Agency # 340

EarlySteps, Louisiana's Early Intervention System

AND

First Steps Referral and Consulting, LLC

FOR

☐ Personal Services ☐ Professional Services ☐ Consulting Services ☒ Social Services

1) Contractor (Legal Name if Corporation) First Steps Referral and Consulting, LLC			5) Federal Employer Tax ID# or Social Security # 55082549900 (Must be 11 Digits)	
2) Street Address P.O. Box 12213			6) Parish(es) Served 02, 06, 10, 12, 27	
City New Iberia	State LA	Zip Code 70562	7) License or Certification # NA	
3) Telephone Number (337) 224-5842			8) Contractor Status  Subrecipient: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Corporation: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No For Profit: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Publicly Traded: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
4) Mailing Address (if different)				
City	State	Zip Code	8a) CFDA#(Federal Grant #) 84.181A	

9) Brief Description Of Services To Be Provided:  
Contractor will provide System Point of Entry (SPOE) services with the Region 5 parishes for EarlySteps, Louisiana's Early Intervention System and its eligible infants & toddler from birth to three as regulated under Part C of the Individuals with Disabilities Education Improvement Act (IDEA). Contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and supporting the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family . The contractor will maintain electronic and hard copy paper files of the early intervention records. Contractor shall perform work in accordance with Attachment II: Statement of Work.

10) Effective Date 05-01-2015	11) Termination Date 04-30-2018
-------------------------------	---------------------------------

12) This contract may be terminated by either party upon giving thirty (30) days advance written notice to the other party with or without cause but in no case shall continue beyond the specified termination date.

13) Maximum Contract Amount \$ 1,379,398.00	14/15-72,976 15/16-445,176 16/17-458,111 17/18 - 403,135
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14) Terms of Payment  
If progress and/or completion of services are provided to the satisfaction of the initiating Office/Facility, payments are to be made as follows:  
Fiscal will pay invoices within (20) days after receipt.  
  
Travel will be reimbursed in accordance with PPM 49.  
  
Authorization for payment will be made upon submission of deliverables summarized within monthly report and itemized invoices after approval from the Program Manager. Contractor will be paid on a cost reimbursement basis in accordance with attached budget.  
  
Contractor obligated to submit final invoices to Agency within fifteen (15) days after termination of contract.

PAYMENT WILL BE MADE ONLY UPON APPROVAL OF:	First Name Brenda	Last Name Sharp
	Title Program Manager	Phone Number (225) 342-0095

15) Special or Additional Provisions which are incorporated herein, if any (IF NECESSARY, ATTACH SEPARATE SHEET AND REFERENCE):  
  
Attachment I: HIPAA Addendum                      Exhibit I: Sole Proprietorship  
Attachment II: Statement of Work                  Exhibit II: Multi Year Letter  
Attachment III Budget  
Attachment IV: Monthly Invoice  
Attachment V: SPOE Monthly Report  
Attachment VI: Order of Precedence



**During the performance of this contract, the Contractor hereby agrees to the following terms and conditions:**

1. Contractor hereby agrees to adhere as applicable to the mandates dictated by Titles VI and VII of the Civil Rights Act of 1964, as amended; the Vietnam Era Veterans' Readjustment Assistance Act of 1974; Americans with Disabilities Act of 1990 as amended; the Rehabilitation Act of 1973 as amended; Sec. 202 of Executive Order 11246 as amended, and all applicable requirements imposed by or pursuant to the regulations of the U. S. Department of Health and Human Services. Contractor agrees not to discriminate in the rendering of services to and/or employment of individuals because of race, color, religion, sex, age, national origin, handicap, political beliefs, disabled veteran, veteran status, or any other non-merit factor.
2. Contractor shall abide by the laws and regulations concerning confidentiality which safeguard information and the patient/client confidentiality. Information obtained shall not be used in any manner except as necessary for the proper discharge of Contractor's obligations. (The Contractor shall establish, subject to review and approval of the Department, confidentiality rules and facility access procedures.)
3. The State Legislative Auditor, Office of the Governor, Division of Administration, and Department Auditors or those designated by the Department shall have the option of auditing all accounts pertaining to this contract during the contract and for a three year period following final payment. Contractor grants to the State of Louisiana, through the Office of the Legislative Auditor, Department of Health and Hospitals, and Inspector General's Office, Federal Government and/or other such officially designated body the right to inspect and review all books and records pertaining to services rendered under this contract, and further agrees to guidelines for fiscal administration as may be promulgated by the Department. Records will be made available during normal working hours.

Contractor shall comply with federal and state laws and/or DHH Policy requiring an audit of the Contractor's operation as a whole or of specific program activities. Audit reports shall be sent within thirty (30) days after the completion of the audit, but no later than six (6) months after the end of the audit period. If an audit is performed within the contract period, for any period, four (4) copies of the audit report shall be sent to the Department of Health and Hospitals, Attention: **Division of Fiscal Management, P.O. Box 91117, Baton Rouge, LA 70821-3797** and one (1) copy of the audit shall be sent to the **originating DHH Office**.

4. Contractor agrees to retain all books, records and other documents relevant to the contract and funds expended thereunder for at least four (4) years after final payment or as prescribed in 45 CFR 74:53 (b) whichever is longer. Contractor shall make available to the Department such records within thirty (30) days of the Department's written request and shall deliver such records to the Department's central office in Baton Rouge, Louisiana, all without expense to the Department. Contractor shall allow the Department to inspect, audit or copy records at the contractor's site, without expense to the Department.
5. Contractor shall not assign any interest in this contract and shall not transfer any interest in the same (whether by assignment or novation), without written consent of the Department thereto, provided, however, that claims for money due or to become due to Contractor from the Department under this contract may be assigned to a bank, trust company or other financial institution without advanced approval. Notice of any such assignment or transfer shall be promptly furnished to the Department and the Division of Administration, Office of Contractual Review.
6. Contractor hereby agrees that the responsibility for payment of taxes from the funds received under this contract shall be Contractor's. The contractor assumes responsibility for its personnel providing services hereunder and shall make all deductions for withholding taxes, and contributions for unemployment compensation funds.
7. Contractor shall obtain and maintain during the contract term all necessary insurance including automobile insurance, workers' compensation insurance, and general liability insurance. The required insurances shall protect the Contractor, the Department of Health and Hospitals, and the State of Louisiana from all claims related to Contractor's performance of this contract. Certificates of Insurance shall be filed with the Department for approval. Said policies shall not be canceled, permitted to expire, or be changed without thirty (30) days advance written notice to the Department. Commercial General Liability Insurance shall provide protection during the performance of work covered by the contract from claims or damages for personal injury, including accidental death, as well as claims for property damages, with combined single limits prescribed by the Department.
8. In cases where travel and related expenses are required to be identified separate from the fee for services, such costs shall be in accordance with State Travel Regulations. The contract contains a maximum compensation which shall be inclusive of all charges including fees and travel expenses.
9. No funds provided herein shall be used to urge any elector to vote for or against any candidate or proposition on an election ballot nor shall such funds be used to lobby for or against any proposition or matter having the effect of law being considered by the legislature or any local governing authority. This provision shall not prevent the normal dissemination of factual information relative to a proposition or any election ballot or a proposition or matter having the effect of law being considered by the legislature or any local governing authority. Contracts with individuals shall be exempt from this provision.
10. Should contractor become an employee of the classified or unclassified service of the State of Louisiana during the effective period of the contract, Contractor must notify his/her appointing authority of any existing contract with State of Louisiana and notify the contracting office of any additional state employment. This is applicable only to contracts with individuals.

11. All non-third party software and source code, records, reports, documents and other material delivered or transmitted to Contractor by State shall remain the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract. All non-third party software and source code, records, reports, documents, or other material related to this contract and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract.
12. Contractor shall not enter into any subcontract for work or services contemplated under this contract without obtaining prior written approval of the Department. Any subcontracts approved by the Department shall be subject to conditions and provisions as the Department may deem necessary; provided, however, that notwithstanding the foregoing, unless otherwise provided in this contract, such prior written approval shall not be required for the purchase by the contractor of supplies and services which are incidental but necessary for the performance of the work required under this contract. No subcontract shall relieve the Contractor of the responsibility for the performance of contractual obligations described herein.
13. No person and no entity providing services pursuant to this contract on behalf of contractor or any subcontractor is prohibited from providing such services by the provisions of R.S. 42:1113 as amended in the 2008 Regular Session of the Louisiana Legislature.
14. No claim for services furnished or requested for reimbursement by Contractor, not provided for in this contract, shall be allowed by the Department. In the event the Department determines that certain costs which have been reimbursed to Contractor pursuant to this or previous contracts are not allowable, the Department shall have the right to set off and withhold said amounts from any amount due the Contractor under this contract for costs that are allowable.
15. This contract is subject to and conditioned upon the availability and appropriation of Federal and/or State funds; and no liability or obligation for payment will develop between the parties until the contract has been approved by required authorities of the Department; and, if contract exceeds \$20,000, the Director of the Office of Contractual Review, Division of Administration in accordance with La. R.S. 39:1502..
16. The continuation of this contract is contingent upon the appropriation of funds from the legislature to fulfill the requirements of the contract. If the Legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds are not appropriated.
17. Any alteration, variation, modification, or waiver of provisions of this contract shall be valid only when reduced to writing, as an amendment duly signed, and approved by required authorities of the Department; and, if contract exceeds \$20,000, approved by the Director of the Office of Contractual Review, Division of Administration. Budget revisions approved by both parties in cost reimbursement contracts do not require an amendment if the revision only involves the realignment of monies between originally approved cost categories.
18. Any contract disputes will be interpreted under applicable Louisiana laws and regulations in Louisiana administrative tribunals or district courts as appropriate.
19. Contractor will warrant all materials, products and/or services produced hereunder will not infringe upon or violate any patent, copyright, trade secret, or other proprietary right of any third party. In the event of any such claim by any third party against DHH, the Department shall promptly notify Contractor in writing and Contractor shall defend such claim in DHH's name, but at Contractor's expense and shall indemnify and hold harmless DHH against any loss, expense or liability arising out of such claim, whether or not such claim is successful. This provision is not applicable to contracts with physicians, psychiatrists, psychologists or other allied health providers solely for medical services.
20. Any equipment purchased under this contract remains the property of the Contractor for the period of this contract and future continuing contracts for the provision of the same services. Contractor must submit vendor invoice with reimbursement request. For the purpose of this contract, equipment is defined as any tangible, durable property having a useful life of at least (1) year and acquisition cost of \$1000.00 or more. The contractor has the responsibility to submit to the Contract Monitor an inventory list of DHH equipment items when acquired under the contract and any additions to the listing as they occur. Contractor will submit an updated, complete inventory list on a quarterly basis to the Contract Monitor. Contractor agrees that upon termination of contracted services, the equipment purchased under this contract reverts to the Department. Contractor agrees to deliver any such equipment to the Department within 30 days of termination of services.
21. Contractor agrees to protect, indemnify and hold harmless the State of Louisiana, DHH, from all claims for damages, costs, expenses and attorney fees arising in contract or tort from this contract or from any acts or omissions of Contractor's agents, employees, officers or clients, including premises liability and including any claim based on any theory of strict liability. This provision does not apply to actions or omissions for which LA R.S. 40:1299.39 provides malpractice coverage to the contractor, nor claims related to treatment and performance of evaluations of persons when such persons cause harm to third parties (R.S. 13:5108.1(E)). Further it does not apply to premises liability when the services are being performed on premises owned and operated by DHH.

22. Any provision of this contract is severable if that provision is in violation of the laws of the State of Louisiana or the United States, or becomes inoperative due to changes in State and Federal law, or applicable State or Federal regulations.

23. Contractor agrees that the current contract supersedes all previous contracts, negotiations, and all other communications between the parties with respect to the subject matter of the current contract.

**THIS CONTRACT CONTAINS OR HAS ATTACHED HERETO ALL THE TERMS AND CONDITIONS AGREED UPON BY THE CONTRACTING PARTIES. IN WITNESS THEREOF, THIS CONTRACT IS SIGNED ON THE DATE INDICATED BELOW.**

**First Steps Referral and Consulting, LLC**

STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS

Mary T. Fotherman 3.9.15  
SIGNATURE DATE

SIGNATURE

DATE \_\_\_\_\_

Mary F. Hockless

NAME

Executive Director

# TITLE

**SIGNATURE**

DATE \_\_\_\_\_

Kathy Kliebert

NAME \_\_\_\_\_

Secretary, Department of Health and Hospital or Designee

**TITLE**

## EarlySteps, Louisiana's Early Intervention System

Office for Citizens with Developmental Disabilities

**SIGNATURE**

DATE \_\_\_\_\_

Brenda Sharp

NAME \_\_\_\_\_

## Program Manager

**TITLE**

**SIGNATURE**

DATE \_\_\_\_\_

Mark A. Thomas

NAME \_\_\_\_\_

Assistant Secretary

**TITLE**

## HIPAA Business Associate Addendum

This HIPAA Business Associate Addendum is hereby made a part of this contract in its entirety as Attachment \_\_\_\_\_ to the contract.

1. The Louisiana Department of Health and Hospitals ("DHH") is a Covered Entity, as that term is defined herein, because it functions as a health plan and as a health care provider that transmits health information in electronic form.
2. Contractor is a Business Associate of DHH, as that term is defined herein, because contractor either: (a) creates, receives, maintains, or transmits PHI for or on behalf of DHH; or (b) provides legal, actuarial, accounting, consulting, data processing, information technology, management consulting, medical or financial recordkeeping, personnel and human resources, quality assurance, risk management, telecommunications, training, or other services that require access to PHI.



### Office of State Procurement PROACT Contract Certification of Approval

This certificate serves as confirmation that the Office of State Procurement has reviewed and approved the contract referenced below.

**Reference Number:** 735210

**Vendor:** First Steps Referral and Consulting, LLC

**Description:** Contractor will provide System Point of Entry (SPOE) services Reg. 5

**Approved By:** Pamela Rice

**Approval Date:** 6/29/2015

The above referenced number has been assigned by this office and will be used as identification for the approved contract. Please use this number when referring to the contract in any future correspondence or amendment(s).

The Internal Revenue Service (IRS) may find that this contract creates an employment relationship between your agency and the contractor. You should be advised that your agency is responsible for all taxes and penalties if such a finding is forthcoming. It is incumbent upon your agency to determine if an employee/employer relationship exists. Your agency must make the appropriate withholdings in accordance with law and IRS regulations, if applicable.

## ATTACHMENT II

### Statement of Work

#### **GOAL/PURPOSE**

The contractor will provide System Point of Entry services to infants and toddlers (birth to three years old) who have developmental delays or diagnosed medical conditions likely to result in developmental delays in accordance with the Individuals with Disabilities Education Improvement Act (IDEA). The contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family in EarlySteps, Louisiana's IDEA Part C system.

#### **Deliverable 1**

The contractor shall provide qualified and trained Intake Support Coordinators to provide the required services outlined below and to function as the EarlySteps initial point of contact for the designated region.

**Deliverable 1.1:** Contractor will receive referrals from a parent, family member, physician, teacher, service providers, agencies, etc. Contractor will respond to each referral within specified timelines, and the following services will be offered: intake coordination via face-to-face interview and/or telephone contact, screening of the child, review of referral information and concerns, access of other health or evaluation information. The contractor must conduct the face-to-face interview with the family in their natural environment unless otherwise arranged with the family and with documentation that supports the family's decision.

**Deliverable 1.2:** Contractor will ensure that completion of the initial face-to-face interview with the family will include providing the following information: introduction of the family to the EarlySteps system and providing to the family, in the family's primary language or other mode of communication (including in writing), their procedural safeguards and their right to due process under IDEA-Part C in 34 CFR 303.400-438 related to intake and eligibility procedures.

**Deliverable 1.3:** Contractor will receive informed written consent from the parent/legal guardian to participate in the EarlySteps system in order to proceed with the intake process, eligibility process, accessing of information requests and initial IFSP development.

**Deliverable 1.4:** Contractor will request and document receipt of information from appropriate health, medical, educational, and other community services providers with parental consent.

**Outcome 1.5:** Contractor will complete the family interview and developmental screening of each referred child using the Ages and Stages Questionnaire or other tool approved by EarlySteps for children referred for developmental delay.

**Deliverable 1.6:** Contractor will ensure receipt of all relevant information from the family to complete intake process including: Medicaid eligibility verification, insurance and income verification and eligibility for and referral to other community programs/services.

- The SPOE shall verify Medicaid eligibility according to the requirements specified in Chapter 4 of the Practice Manual located at <http://www.earlysteps.dhh.louisiana.gov>.

**Deliverable 1.7:** Contractor will conduct a determination of need coordinated with the EarlySteps central and regional office staff, to access the surrogate parent system. The contractor's role shall include: Submitting any such names and addresses to OCDD for appropriate surrogate parent action, using the state-developed form; assisting OCDD in recruiting surrogate parent volunteers; assisting OCDD with local surrogate parent training if necessary; reviewing the child's situation in regards to whether a parent or guardian is present; and determining if a referred child would benefit from a surrogate parent. Within ten (10) business days of the child's initial referral to the contractor, the contractor must complete and return to OCDD the designated form for each child believed to be eligible to receive a surrogate appointment based on the criteria set forth under 34 CFR 303.406. OCDD shall appoint a surrogate parent and inform the contractor of the appointment.

**Deliverable 1.8:** Contractor will send an acknowledgement of receipt of referral form to referral sources using a standard acknowledgement letter provided by EarlySteps.

**Deliverable 1.9:** Contractor will send certified letters to families when contact attempts fail.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of referrals processed within 3 business days.
- Documentation of percentage of face-to-face interviews with families within 10 business days.
- Documentation of percentage of referral acknowledgements sent within 5 business days.

## ATTACHMENT II

### Statement of Work

- Documentation of percentage of certified letters sent to families after 3 documented contact attempts.
- Reports reflect accuracy of chart data within acceptable parameters as determined in monitoring activities.
- Documentation that parent CQI survey results shall be conducted by the contractor and consistent with targets set for the Louisiana Annual Performance Report (APR) for Indicator 4 for appropriate SPOE region. The APR is posted on the EarlySteps website.

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports
- Review results of parent survey data
- Review chart for required activity documentation

#### **Deliverable 2: Conduct Eligibility Determination Process**

The contractor shall coordinate eligibility determination for each child who enters the process following screening, arrange for the eligibility evaluator, early intervention consultant, family, and other multidisciplinary team members as appropriate, and facilitate the eligibility and/or IFSP team meetings. (Approximately 5,100 eligibility evaluations were coordinated by the SPOEs in 2012-13).

Deliverable 2.1: Contractor will collect relevant assessments and evaluations shall be collected from other sources including the referral source.

Deliverable 2.2: Contractor will assemble appropriate multidisciplinary team to review the referral information and previous assessment/medical information and to participate in the eligibility determination process in accordance with IDEA Part C regulations and EarlySteps policies. This team shall be an in-house multidisciplinary team with experience with evaluating infants and toddlers with disabilities, including the early intervention consultant, and/or shall be selected from the EarlySteps-enrolled early intervention evaluation providers. Payment for the EarlySteps-enrolled evaluators will be billed by them separately according to current EarlySteps process, not through the SPOE contractor.

Deliverable 2.3: Contractor will complete the determination of eligibility as required under IDEA Part C IDEA and state and federal regulations, the EarlySteps Practice Manual and the training modules: Making Informed Decisions, Battelle Developmental-2 Inventory and the Autism Screening module. Autism screening shall be conducted with children 18 months of age and annually thereafter.

Deliverable 2.4: Contractor will conduct referrals to community supports and resources and other services, including referral for EPSDT case management for children not eligible for EarlySteps.

#### **Performance Measures**

Contractor shall provide or maintain:

- The contractor shall meet the timelines specified in the RFP. EIDS captures the data based on SPOE performance. Reports shall be generated based on these activities. In addition the SPOE shall submit a monthly performance report which is included as Attachment XI. Accurate completion of data entry results shall be in successfully issued authorizations.
- Documentation of percentage of children processed from referral to initial IFSP within 45 calendar days, consistent with targets for APR and regional targets as specified in Attachment VIII
- Documentation of parent CQI survey results shall be consistent with targets set in Louisiana APR Indicator 4
- Documentation of identification of children shall be referred to EPSDT by the Bureau of Health Services Financing contractor
- Documentation of the number of eligibility evaluations completed by the multidisciplinary eligibility team

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports and self-assessments
- Review of the results of parent survey data.
- Review of chart for required documentation



## ATTACHMENT II

### Statement of Work

#### **Deliverable 3: Assess family concerns, priorities, and resources and develop initial Individualized Family Service Plan (IFSP)**

The contractor will coordinate the results of the evaluation and assessment process including the family-directed assessment, information collected during the intake process, results of the evaluation and assessment data, using a team-based model, which supports decision-making necessary to develop the IFSP as specified below:

**Deliverable 3.1:** Contractor will ensure that family concerns, priorities and resources are accurately reflected in the IFSP following an assessment conducted as part of the eligibility determination process for families of eligible children.

**Deliverable 3.2:** Contractor will ensure that the family chooses a Family Service Coordinator and Providers from the Service Matrix.

**Deliverable 3.3:** Contractor will ensure that an IFSP team is assembled that consist of the following members:

- Parent(s) of the child
- Other family members, requested by the parent(s)
- An advocate or other person(s) requested by the family,
- The Family Service Coordinator selected by the family at the time of the initial referral, as defined under 34 CFR 303.34 that has been designated responsible for the implementation of the IFSP.
- Person(s) involved in conducting the evaluations and assessments, in-person or through other means, such as participation by telephone conference call or through pertinent records that are available at the meeting. A knowledgeable authorized representative may also attend the meeting as a substitute for the person unable to attend [34 CFR 303.343 (a) (v)], and
- Service providers [34 CFR 303.343 (a) (vi)] as appropriate.

**Deliverable 3.4:** Contractor will complete the initial IFSP within 45 calendar days of referral that identify child and family priorities according to IFSP requirements.

**Deliverable 3.5:** Contractor will complete referrals and transition activities for children referred to the OCDD and the local education agency (LEA) prior to the child's 3rd birthday according to EarlySteps and OCDD policy. Referrals to other resource agencies, such as Families Helping Families, Child Care Resource and Referral Agencies, Head Start and Early Head Start, etc., identified during intake process shall be made.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of completion of activities associated with referral, eligibility determination, and initial IFSP within 45calendar days.
- Documentation that IFSPs are complete and accurately identify child and family outcomes from assessment process
- Documentation of average costs of services within service guidelines  
EarlySteps utilizes Service Guidelines called IFSP Team services process found in Chapter 6 of the Practice Manual which outlines a process based upon 24 hours of services in 6 months. These are the service guidelines referred to in the RFP from which average per child costs can be determined. Average per child costs are typically \$2100 per child for service costs only. Variations from this guideline are allowable according to the defined process. SPOEs shall follow the guidelines in the development of the initial IFSP so that cost effectiveness is demonstrated.
- Documentation of percentage of IFSPs completed which meet targets for Louisiana APR indicators 1, 2, 7, and 8

#### **Monitoring Plan**

The contract monitor will:

- Review of chart for hard copy of IFSP, transition meeting and documentation of referrals sent to OCDD and the LEA
- Review of EIDS data is within established parameters for region according to quarterly EIDS reports
- Review of Corrective Action Plans developed and timely correction of any targets not met
- Review of monthly report submitted to regional and central office staff. Attachment XI of the RFP outlines the data that EarlySteps requires for monthly reporting by the SPOE.
- Review evidence of team process in IFSP development according to signatures of participating members.

## ATTACHMENT II

### Statement of Work

**Deliverable 4: Provide administrative functions related to collecting family financial information, issuing service authorizations and data entry for the Central Finance Office (CFO).**

The contractor will perform activities which support timely service delivery for enrolled infants and toddlers and accurate, timely data reporting as specified below:

**Deliverable 4.1:** Contractor will submit Service authorizations to the CFO within 2 business days of the initial IFSP meeting.

**Deliverable 4.2:** Contractor will ensure that subsequent service authorizations are received from and processed for the FSC and service providers within 3 days following an IFSP review /revision.

**Deliverable 4.3:** Contractor will ensure that each child's Master record is maintained as specified below.

**Deliverable 4.4:** Contractor will ensure that data uploads to CFO are conducted according to the established schedule.

**Deliverable 4.5:** Contractor will ensure that Family income information is collected during the intake process for entry into EIDS and issuance of the Family Cost Participation Notice Statement. Ongoing financial data entry will occur annually as well.

**Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of IFSPs completed which shall meet targets for Louisiana APR Indicators 1, 2, 7, and 8
- Documentation of IFSP services fully authorized for initial service provision shall occur within 30 days of parent consent. Service providers shall be able to provide timely services following access to service authorizations
- Documentation of Family Cost Share shall be accurately calculated requiring a minimum of system adjustments following entry

**Monitoring Plan**

The contract monitor will:

- Review chart for master copy of IFSP and other documentation for child master record
- Review provider billing processed by CFO and Medicaid
- Review EIDS data within state-established parameters

**Deliverable 5: Establish and Maintain Record Keeping System according to Federal and State Requirements**

The contractor shall establish and maintain records for each child as well as in support of business operations as specified below:

**Deliverable 5.1:** Contractor will maintain all early intervention records shall be maintained in accordance with the applicable regulations under IDEA, Family Education Rights and Privacy Act (FERPA) and Education Department General Accounting Rules (EDGAR), including hard copy paper file and electronic file record, as described below, regardless of the outcome of the intake process (i.e. eligible or not, accept or decline services, etc.).

**Deliverable 5.2:** Contractor will use the Early Intervention data system software (EIDS) operated by the CFO contractor for accurate data entry as the link between the contractor's records and the EIDS. EIDS is provided at no cost to the contractor.

**Deliverable 5.3:** Contractor will obtain all notices of actions and consents; family support coordination documentation including meeting notifications, IFSP reviews/evaluations, new IFSPs, correspondence, family income information, and releases in the hard copy file record in the format required shall be maintained.

**Deliverable 5.4:** Contractor will utilize required EarlySteps forms for record keeping according to the instructions provided in the EarlySteps Practice Manual.

**Deliverable 5.5:** Contractor will ensure data entry in EIDS is accurate such that OCDD is able to:

- Identify gaps in the local service delivery system and the need for resource development, personnel recruitment, etc.;

## ATTACHMENT II

### Statement of Work

- Conduct financial forecasting, fund acquisition, and other reporting functions accurately
- Verify required system components (e.g. IFSP, releases, consents, etc.) are completed according to state and federal regulations.
- Submit eligibility verification and prior authorization data to Molina the fiscal intermediary for the Bureau of Health Services Financing.

**Deliverable 5.6:** Contractor will ensure all child and family information, medical records, and data elements collected, maintained or used in the administration of the contract from unauthorized disclosure as set forth under 34 CFR 303.406 shall be protected according to:

- Safeguards that restrict the use or disclosure of information concerning children and families to purposes directly connected with the administration of the contract.
- Records, reports, documentation, data, and material developed or acquired by the contractor, as a direct requirement specified in the contract shall become the property of the State of Louisiana.
- Information gained by the contractor as a result of the activities conducted under the contract shall be confidential, and no reports, documentation, or material prepared as required by or obtained through the contract shall be released to the public without the prior written consent of OCDD and must include the identification of EarlySteps, OCDD and the State of Louisiana.
- Signatures obtained from all employees or subcontractors of the contractor agreeing to the confidentiality provisions of the contract as required by the OCDD.

**Deliverable 5.7:** Contractor will maintain financial, time, and accounting records and evidence pertaining to the contract in accordance with generally accepted accounting principles and other procedures as specified by DHH/OCDD. These records must be made available to DHH/OCDD, and/or its designees, and the legislative auditor during the contract period, any renewal period, and for the period of time specified below for retention of records.

**Deliverable 5.8:** Contractor will securely store books, records, evidence, and other documents relevant to the contract for a period of four (4) years after final payment and the completion of an audit (if an audit is performed). Any records or documents involved in, related to, or required for any litigation, claim, negotiation, audit, or other such action must be retained until the resolution of the action, or until four years have passed after final payment and completion of any required audit, whichever is later. The contractor shall allow authorized representatives of the State of Louisiana agencies and the federal government to inspect these records upon request.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of records is complete, accurate and meets Federal and State Requirements.
- Evidence that hard copy documentation shall be consistent with EIDS data.
- Documentation of records are maintained according to the required timelines

#### **Monitoring Plan**

The contract monitor will:

- Review charts
- Conduct agency Audits
- Review Data Report

#### **Deliverable 6: Hire and Train staff to meet functions of SPOE office (see Attachment VI for Job Descriptions)**

The Contractor will conduct activities which meet personnel requirements and needs of the region as specified below. Key personnel commitments made in the contract shall only be changed with prior written approval of DHH/OCDD. The contractor shall be responsible for the training and education of new personnel at the contractor's expense. DHH/OCDD shall not be liable for any cost related to the training or education of new or substitute staff.

**Deliverable 6.1:** Contractor will hire personnel who will demonstrate effective service provision as required in the contract and meet qualifications specified.

**Deliverable 6.2:** Contractor will hire appropriate number of staff necessary to provide all required services.

**Deliverable 6.3:** Contractor will hire staff members that meet specified qualifications.

**Deliverable 6.4:** Contractor will provide additional necessary support (such as data support) to assist the Intake Service Coordinators in providing the services required herein.

## ATTACHMENT II

### Statement of Work

**Deliverable 6.5:** Contractor and/or sub-contractor will, if requested by DHH, provide all necessary authorizations for the background checks for all personnel. The contractor must arrange for background checks for required staff according to requirements of the Department of Children and Family Services. This requirement states that an employee or subcontractor of the contractor must pass a background check prior to employment and or initiation of a contract and every three years thereafter or according to the requirements of RS 49:950 et seq. (The State reserves the right to conduct a background check on any contractor or sub-contractor personnel).

#### **Performance Measures**

Contractor shall provide or maintain:

- Supporting documentation that all staff meets specified qualifications.
- Documentation of adequate staffing of program results in timeline requirements being met according to APR Indicators 1, 7, and 8.

#### **Monitoring Plan**

The contract monitor will:

- Review Charts -Personnel files
- Review EIDS reports
- Review Staff Training Records
- Review documentation of Verification of Background Checks

**Deliverable 7: Ensure that all licensing and training requirements are met according to the *Case Management Services Provider Manual*, reissued 7/01/2002.**

The contractor will arrange and/or provide case management training and EarlySteps training as specified below:

**Deliverable 7.1:** Contract will ensure that each Intake Service Coordinator and Intake Service Coordinator/Early Intervention Consultant-Supervisor complete required licensing and EarlySteps training as specified below and participate in any required meetings. In addition, the intake service coordinators must adhere to the requirements of the EarlySteps Practice Manual.

EarlySteps Training Requirements shall include the following:

- Module 1: Orientation—EarlySteps: A New Look
- Module 2: Evaluation and Assessment—Making Informed Decisions on-line module and with a face-to-face component (when available) through EarlySteps
- Module 3: Spectrum of Child Development
- Module 4: Family-Centered Practices
- Module 5: Introduction to Teaming Practices
- Module 6: Introduction to the Individualized Family Services Plan on-line and Individualized Family Service Plan Process-a face-to-face component, when available.
- Module 7: Concerns, Priorities and Resource Process, a face-to-face training activity, when available
- Module 8: Talking to Families about their Rights, an online module
- Face-to-Face Orientation to EarlySteps by Regional Coordinator
- Technical Assistance provided at a minimum of 1 hour per month with the Regional Coordinator in region served; meetings may increase based on the SPOE needs. All SPOE staff will be required to attend scheduled meetings.
- SPOE software training
- Additional training as required by DHH/OCDD

**Additional Case Management Licensing Training Requirements:**

Orientation- at least sixteen (16) hours must be provided to all staff, volunteers, and students within five (5) working days of employment. A minimum of eight (8) hours of the orientation training must cover orientation to early intervention including, but not limited to, specific service needs and resources. This orientation must include, at a minimum:

- Case Management Provider policies and procedures.
- Medicaid and other applicable DHH policies and procedures.
- Confidentiality.
- Documentation in case records.
- Parents' Rights under IDEA Part C.
- Recipient rights protection and reporting of violations.
- Recipient abuse and neglect reporting policies and procedures.
- Recognizing and defining abuse and neglect.
- Emergency and safety procedures.

## ATTACHMENT II

### Statement of Work

- Data management and record keeping.
- Infection control and universal precautions.
- Working with the early intervention population.
- Professional ethics.
- Outcome measures.

**Deliverable 7.2:** Contractor will ensure that in addition to the required sixteen (16) hours of orientation, all new employees without documented training must receive an additional minimum sixteen (16) hours of training during the first ninety (90) calendar days of employment. This training must be related to the population of infants and toddlers with disabilities to be served, must include specific knowledge, skills, and techniques, and must include the training modules listed above.

**Deliverable 7.3:** Contractor will ensure that an individual with demonstrated knowledge of both the training topics and the target population provide this training. This training must include the following at a minimum:

- Assessment techniques.
- Support and service planning.
- Support and service planning for children with complex medical needs
- Resource identification.
- Interviewing and interpersonal skills.
- Data management and record keeping.
- Communication skills
- Cultural awareness.
- Personal outcome measures.

**Deliverable 7.4:** Contract will ensure that new employees do not assume service coordinator responsibility until the orientation is satisfactorily completed. This additional training may be counted as part of the required 40 annual hours. The following is a list of suggested additional topics for training:

- Nature of illness or disability, including symptoms and behavior.
- Pharmacology.
- Potential array of services for the population.
- Building natural support system.
- Family dynamics.
- Developmental life stages.
- First aid/CPR.
- Signs and symptoms of mental illness, alcohol, and drug addiction, mental retardation/developmental disabilities and head injuries.
- Monitoring techniques.
- Advocacy.
- Behavior management techniques.
- Values clarification/goals and objectives.
- Available community resources.
- Cultural diversity.
- Health management.
- Team building/interagency collaboration.
- Transition/closure.
- Facilitating team meetings.
- Stress and time management.
- Legal issues.
- Outcome measures.

**Deliverable 7.5:** Contractor will ensure that individuals who supervise Intake Service Coordinators complete a minimum of 40 hours of training a year. Suggested topics for supervisory training include:

- Professional ethics
- Process for interviewing, screening, and hiring staff
- Orientation/in service training of staff
- Evaluating staff
  - Approaches to supervision
  - Managing caseload size
  - Conflict resolution
  - Documentation
  - Time management

## ATTACHMENT II

### Statement of Work

The contractor shall print EarlySteps Practice Manual and any updates and shall make them available to all of the contractor's staff. Verification of training on the program practice manual shall be documented by the contractor. The manual is available on the website at <http://www.earlysteps.dhh.louisiana.gov/>.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of personnel records that include - Time, date, trainer, trainer's qualifications and agenda signed by supervisor, documentation of training provided by outside entities or organizations to include certificate of attendance signed by trainer or training organizations.

#### **Monitoring Plan**

The contract monitor will:

- Review Personnel File
- Review attendance records
- Review Training and Supervision Logs

#### **Deliverable 8: Ensure quality of data reporting and quality assurance**

The contractor will develop and implement quality management strategies which assure quality of contractor and EarlySteps system implementation and accuracy of data entry and reporting as follows:

Deliverable 8.1: Contractor will develop written procedures for performance of the services, as required herein, within 90 calendar days of the initiation of the contract which reflect provisions of the EarlySteps system in a prompt, professional, family-centered, equitable, consistent, and culturally competent manner that ensures:

- Each referred child shall be guaranteed equal and timely access to the services available through the EarlySteps system or referred to other appropriate services, regardless of the nature of the child's disability or the degree of disability, family educational/socioeconomic status, primary language or geographic location.
- Families shall receive accurate and timely information, knowledge of choices or options available, and shall be given an explanation of their rights, opportunities and responsibilities under both Part C federal law and state law.
- Collaborative relationships with referring agencies, providers and other community agencies are developed which support the EarlySteps team-based service delivery model.
- Access for children and their families to systems and services that will assist in meeting their needs including those related to the child's developmental concerns as well as enhancing the family's capacity in meeting the needs of their child.
- Confidentiality of data, including medical records, payment information, child and family information, and early intervention service records shall be maintained
- Data shall be entered accurately and in a timely manner
- A written plan for conducting a self-evaluation and report findings to OCDD shall be developed and implemented by the Contractor throughout the Contractor's organization.
- A written approved Quality Enhancement Plan that engages in learning or collecting performance information to determine how well they are meeting the Contractor's goals; responding or acting in ways to improve performance, implementing or activating a plan that has well defined goals and objectives, and evaluating and monitoring the implementation of the quality project

Deliverable 8.2: Contractor will ensure that data management results in accurate data reporting which meets state and federal requirements such that:

- Procedures which ensure confidentiality of all contents including medical records, payment information, child and family information, and early intervention service records shall be implemented.
- Reporting requirement established by OCDD including monthly reports, corrective action plans, self-assessments and Individual Family Service Plans (IFSPs) shall be met.
- Procedures shall ensure timely, accurate input of data into EIDS.

#### **Performance Measures**

Contractor shall provide or maintain:

Documentation of policy manual development within 90 days of contract initiation which shall include, but shall not be limited to, the following:

- Anti-discrimination
- Evaluations
- Promotion



## ATTACHMENT II

### Statement of Work

- Disciplinary actions
- Termination
- Employee grievances
- Continuous quality management
- Training requirements

A written Quality Enhancement Plan must be developed within 90 days of contract initiation and approved by OCDD which shall include:

- Contractor's vision and mission
- Establishing a Quality Council
- Establishing an Organizational Infrastructure to Support Quality QM Policy and procedures
- Evaluating Fidelity of Implementation of the Contractor's plan and updates
- Quality management committee which includes stakeholders
- Data collection and analysis
- Procedures for conducting self-evaluation and other quality enhancements and procedures to report findings to OCDD according to established guidelines
- Training
- Procedures for determination of consumer satisfaction and means to address concerns identified

#### **Monitoring Plan**

The contract monitor will:

- Review policy manuals and quality assurance guidelines
- Review data reporting to ensure it meets schedules and results within expected parameters

DHH Contract Budget Detail

Attachment III  
FY 14/15

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	52.56	173	9,093	100	0	9,093
EI Consultant and/or Supervisor	29.19	346	10,100	100	0	10,100
Intake Coordinator	24.32	346	8,415	100	0	8,415
Intake Coordinator	12.26	346	4,242	100	0	4,242
Intake Coordinator	23.68	346	8,193	100	0	8,193
Data Management/Admin Clerk	18.54	346	6,415	100	0	6,415
Admin Clerk (Part-time)	9.62	173	1,664	100	0	1,664
			0		0	0
			0		0	0
Total			48,122		0	48,122

Justification

Personnel cost for Region 5. Director/EI Consultant/Supervisor is .5 FTE on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Medical	3,830	100	0	3,830
FICA	3,688	100	0	3,688
FUTA	125	100	0	125
LAUE	120	100	0	120
Retirement IRA	1,929	100	0	1,929
			0	0
			0	0
			0	0
Total	9,692		0	9,692

Justification

7 staff benefits to include state and federally required items such as FICA and Medicare. Includes other benefits such as health and 401K. Related benefits represents 20.14%.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
EI Consultant and/or Supervisor	579	100	0	579
Intake Coordinator	578	100	0	578
Intake Coordinator	578	100	0	578
Intake Coordinator	578	100	0	578
			0	0
			0	0
			0	0
			0	0
Total	2,313		0	2,313

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore four staff will travel to 5 parishes in Region 5.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$80.00 x 2)	160	100	0	160
Telephone - Office (\$188.27 x 2)	377	100	0	377
Cell (\$174.84 x 2)	350	100	0	350
Insurance - Liability (\$647.09 x 2)	1,294	100	0	1,294
Insurance - Workers Comp. (\$452.97 x 2)	906	100	0	906
Postage (\$181.96 x 2)	364	100	0	364
Copier Rental (307.38 x 2)	615	100	0	615
			0	0
			0	0
<b>Total</b>	<b>4,066</b>		<b>0</b>	<b>4,066</b>

Justification

Bulk mailing, telephone, cell phones, etc. are required for daily operation. Also includes liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Folders and labels (\$34.85 x 2)	70	100	0	70
Pens, pencils, papers, drives, etc. (\$28.25 x 2)	57	100	0	57
Envelopes for mailings (\$13.25 x 2)	27	100	0	27
Toner for printers (\$98.25 x 2)	197	100	0	197
Computer supplies/Virus protection (\$50 x 2)	100	100	0	100
			0	0
			0	0
			0	0
<b>Total</b>	<b>451</b>		<b>0</b>	<b>451</b>

Justification

Purchase of folders, copy paper, pens, pencils, staples, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Interpeter (\$90.00 x 2)	180	100	0	180
Training (\$166.67 x 2)	333	100	0	333
		100	0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>513</b>		<b>0</b>	<b>513</b>

Justification

Meet state contract audit requirements. Staff training as required.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
	0	100	0	0
		100	0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. costs	7,819	100	0	7,819
			0	0
			0	0
			0	0
			0	0
			0	0
Total	7,819		0	7,819

Justification

Based on allowed 12%

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification



DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment III

CONTRACTOR: First Steps Referral and Consulting, LLC FROM: 5/1/2015 TO: 06/30/2015

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	48,122	0	48,122
RELATED BENEFITS	(41)	9,692	0	9,692
TRAVEL	(12)	2,313	0	2,313
OPERATING SERVICES	(13)	4,066	0	4,066
SUPPLIES	(14)	451	0	451
PROFESSIONAL SVCS	(15)	513	0	513
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	7,819	0	7,819
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		72,976	0	72,976

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					



DHH Contract Budget Detail

Attachment III  
FY 15/16

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	52.56	1,040	54,662	100	0	54,662
EI Consultant and/or Supervisor	29.19	2,080	60,715	100	0	60,715
Intake Coordinator	24.32	2,080	50,586	100	0	50,586
Intake Coordinator	12.26	2,080	25,501	100	0	25,501
Intake Coordinator	23.68	2,080	49,254	100	0	49,254
Data Management/Admin Clerk	18.54	2,080	38,563	100	0	38,563
Admin Clerk (Part-time)	9.62	1,040	10,005	100	0	10,005
			0		0	0
			0		0	0
Total			289,286		0	289,286

Justification

Personnel cost for Region 5. Director/EI Consultant/Supervisor is .5 FTE on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Medical	22,977	100	0	22,977
FICA	22,130	100	0	22,130
FUTA	752	100	0	752
LAUE	723	100	0	723
Retirement IRA	11,571	100	0	11,571
			0	0
			0	0
			0	0
Total	58,153		0	58,153

Justification

7 staff benefits to include state and federally required items such as FICA and Medicare. Includes other benefits such as health and 401K. Related benefits represents 20.1021%.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
EI Consultant and/or Supervisor	3,470	100	0	3,470
Intake Coordinator	3,470	100	0	3,470
Intake Coordinator	3,470	100	0	3,470
Intake Coordinator	3,470	100	0	3,470
			0	0
			0	0
			0	0
			0	0
Total	13,880		0	13,880

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore four staff will travel to 5 parishes in Region 5.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$80.00 x 12)	960	100	0	960
Telephone - Office (\$188.27 x 12)	2,259	100	0	2,259
Cell (\$174.84 x 12)	2,098	100	0	2,098
Insurance - Liability (\$647.09 x 12)	7,765	100	0	7,765
Insurance - Workers Comp. (\$452.97 x 12)	5,436	100	0	5,436
Postage (\$181.96 x 12)	2,184	100	0	2,184
Copier Rental (307.38 x 12)	3,689	100	0	3,689
			0	0
			0	0
<b>Total</b>	<b>24,391</b>		<b>0</b>	<b>24,391</b>

Justification

Bulk mailing, telephone, cell phones, etc. are required for daily operation. Also includes liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Folders and labels (\$34.85 x 12)	418	100	0	418
Pens, pencils, papers, drives, etc. (\$27.75 x 12)	333	100	0	333
Envelopes for mailings (\$13.25 x 12)	159	100	0	159
Toner for printers (\$98.25 x 12)	1,179	100	0	1,179
Computer supplies/Virus protection (\$50 x 12)	600	100	0	600
			0	0
			0	0
			0	0
<b>Total</b>	<b>2,689</b>		<b>0</b>	<b>2,689</b>

Justification

Purchase of folders, copy paper, pens, pencils, staples, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Interpeter (\$90.00 x 12)	1,080	100	0	1,080
Training (\$166.67 x 12)	2,000	100	0	2,000
Audit (\$500 x 12)	6,000	100	0	6,000
			0	0
			0	0
			0	0
<b>Total</b>	<b>9,080</b>		<b>0</b>	<b>9,080</b>

Justification

Meet state contract audit requirements. Staff training as required.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
	0	100	0	0
		100	0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. costs	47,697	100	0	47,697
			0	0
			0	0
			0	0
			0	0
			0	0
Total	47,697		0	47,697

Justification

Based on allowed 12%

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification



DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment III

CONTRACTOR: First Steps Referral and Consulting, LLC FROM: 7/1/2015 TO: 06/30/2016

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	289,286	0	289,286
RELATED BENEFITS	(41)	58,153	0	58,153
TRAVEL	(12)	13,880	0	13,880
OPERATING SERVICES	(13)	24,391	0	24,391
SUPPLIES	(14)	2,689	0	2,689
PROFESSIONAL SVCS	(15)	9,080	0	9,080
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	47,697	0	47,697
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		445,176	0	445,176

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds  
If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment III  
FY 16/17

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	54.14	1,040	56,306	100	0	56,306
EI Consultant and/or Supervisor	30.06	2,080	62,525	100	0	62,525
Intake Coordinator	25.05	2,080	52,104	100	0	52,104
Intake Coordinator	12.63	2,080	26,270	100	0	26,270
Intake Coordinator	24.39	2,080	50,731	100	0	50,731
Data Management/Admin Clerk	19.1	2,080	39,728	100	0	39,728
Admin Clerk (Part-time)	9.9	1,040	10,296	100	0	10,296
			0		0	0
			0		0	0
Total			297,960		0	297,960

Justification

Personnel cost for Region 5. Director/EI Consultant/Supervisor is .5 FTE on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Medical	23,927	100	0	23,927
FICA	22,794	100	0	22,794
FUTA	775	100	0	775
LAUE	745	100	0	745
Retirement IRA	11,917	100	0	11,917
			0	0
			0	0
			0	0
Total	60,158		0	60,158

Justification

5 staff benefits to include state and federally required items such as FICA and Medicare. Includes other benefits such as health and 401K. Related benefits represents 20.19%.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
EI Consultant and/or Supervisor	3,540	100	0	3,540
Intake Coordinator	3,540	100	0	3,540
Intake Coordinator	3,539	100	0	3,539
Intake Coordinator	3,539	100	0	3,539
			0	0
			0	0
			0	0
			0	0
Total	14,158		0	14,158

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore four staff will travel to 5 parishes in Region 5.



<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$80.00 x 12)	960	100	0	960
Telephone - Office (\$192.03 x 12)	2,304	100	0	2,304
Cell (\$178.34 x 12)	2,140	100	0	2,140
Insurance - Liability (\$660.04 x 12)	7,920	100	0	7,920
Insurance - Workers Comp. (\$462.02 x 12)	5,544	100	0	5,544
Postage (\$185.60 x 12)	2,227	100	0	2,227
Copier Rental (313.53 x 12)	3,762	100	0	3,762
			0	0
			0	0
<b>Total</b>	<b>24,857</b>		<b>0</b>	<b>24,857</b>

Justification

Bulk mailing, telephone, cell phones, etc. are required for daily operation. Also includes liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Folders and labels (\$34.85 x 12)	418	100	0	418
Pens, pencils, papers, drives, etc. (\$28.25 x 12)	339	100	0	339
Envelopes for mailings (\$13.25 x 12)	159	100	0	159
Toner for printers (\$98.25 x 12)	1,179	100	0	1,179
Computer supplies/Virus protection (\$50 x 12)	600	100	0	600
			0	0
			0	0
<b>Total</b>	<b>2,695</b>		<b>0</b>	<b>2,695</b>

Justification

Purchase of folders, copy paper, pens, pencils, staples, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Interpeter (\$90.00 x 12)	1,080	100	0	1,080
Training (\$166.67 x 12)	2,000	100	0	2,000
Audit (\$510 x 12)	6,120	100	0	6,120
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>9,200</b>		<b>0</b>	<b>9,200</b>

Justification

Meet state contract audit requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
	0	100	0	0
		100	0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. costs	49,083	100	0	49,083
			0	0
			0	0
			0	0
			0	0
			0	0
Total	49,083		0	49,083

Justification

Based on allowed 12%

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification



DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment 11

CONTRACTOR: First Steps Referral and Consulting, LLC FROM: 7/1/2016 TO: 06/30/2017

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	297,960	0	297,960
RELATED BENEFITS	(41)	60,158	0	60,158
TRAVEL	(12)	14,158	0	14,158
OPERATING SERVICES	(13)	24,857	0	24,857
SUPPLIES	(14)	2,695	0	2,695
PROFESSIONAL SVCS	(15)	9,200	0	9,200
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	49,083	0	49,083
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		458,111	0	458,111

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

# DHH Contract Budget Detail

Attachment III  
FY 17/18

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Program Director	55.76	867	48,344	100	0	48,344
EI Consultant and/or Supervisor	30.97	1,734	53,702	100	0	53,702
Intake Coordinator	25.81	1,734	44,755	100	0	44,755
Intake Coordinator	13.01	1,734	22,559	100	0	22,559
Intake Coordinator	25.12	1,734	43,558	100	0	43,558
Data Management/Admin Clerk	19.67	1,734	34,108	100	0	34,108
Admin Clerk (Part-time)	10.2	1,734	17,687	100	0	17,687
			0		0	0
			0		0	0
Total			264,713		0	264,713

Justification

Personnel cost for Region 5. Director/EI Consultant/Supervisor is .5 FTE on contract activities.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Medical	20,767	100	0	20,767
FICA	19,565	100	0	19,565
FUTA	665	100	0	665
LAUE	639	100	0	639
Retirement IRA	10,230	100	0	10,230
			0	0
			0	0
			0	0
Total	51,866		0	51,866

Justification

5 staff benefits to include state and federally required items such as FICA and Medicare. Includes other benefits such as health and 401K. Related benefits represents 19.5934%.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
EI Consultant and/or Supervisor	3,008	100	0	3,008
Intake Coordinator	3,008	100	0	3,008
Intake Coordinator	3,009	100	0	3,009
Intake Coordinator	3,009	100	0	3,009
			0	0
			0	0
			0	0
			0	0
Total	12,034		0	12,034

Justification

Travel will be reimbursed in accordance with PPM49. Families do not travel to the office, therefore four staff will travel to 5 parishes in Region 5.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$83.20 x 10)	832	100	0	832
Telephone - Office (\$195.87 x 10)	1,959	100	0	1,959
Cell (\$181.90 x 10)	1,819	100	0	1,819
Insurance - Liability (\$673.24 x 10)	6,732	100	0	6,732
Insurance - Workers Comp. (\$471.27 x 10)	4,713	100	0	4,713
Postage (\$189.31 x 10)	1,893	100	0	1,893
Copier Rental (319.80 x 10)	3,198	100	0	3,198
			0	0
			0	0
<b>Total</b>	<b>21,146</b>		<b>0</b>	<b>21,146</b>

Justification

Bulk mailing, telephone, cell phones, etc. are required for daily operation. Also includes liability insurance.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Folders and labels (\$34.85 x 10)	349	100	0	349
Pens, pencils, papers, drives, etc. (\$28.25 x 10)	283	100	0	283
Envelopes for mailings (\$13.25 x 10)	133	100	0	133
Toner for printers (\$98.25 x 10)	983	100	0	983
Computer supplies/Virus protection (\$50 x 10)	500	100	0	500
			0	0
			0	0
<b>Total</b>	<b>2,248</b>		<b>0</b>	<b>2,248</b>

Justification

Purchase of folders, copy paper, pens, pencils, staples, etc. are necessary supplies used in the daily operations.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Interpeter (\$90.00 x 10)	900	100	0	900
Training (\$166.67 x 10)	1,833	100	0	1,833
Audit (\$510 x 10)	5,202	100	0	5,202
			0	0
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>7,935</b>		<b>0</b>	<b>7,935</b>

Justification

Meet state contract audit requirements.



(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
	0	0	0	0
		0	0	0
			0	0
			0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Admin. costs	43,193	100	0	43,193
			0	0
			0	0
			0	0
			0	0
			0	0
Total	43,193		0	43,193

Justification

Based on allowed 12%

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
				0	0
Total		0		0	0

Justification



DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment III

CONTRACTOR: First Steps Referral and Consulting, LLC FROM: 7/1/2017 TO: 04/30/2018

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	264,713	0	264,713
RELATED BENEFITS	(41)	51,866	0	51,866
TRAVEL	(12)	12,034	0	12,034
OPERATING SERVICES	(13)	21,146	0	21,146
SUPPLIES	(14)	2,248	0	2,248
PROFESSIONAL SVCS	(15)	7,935	0	7,935
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	43,193	0	43,193
(Enter Cat 1 name)	(0)	0	0	0
(Enter Cat 2 name)	(0)	0	0	0
TOTAL COST		403,135	0	403,135

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds  
If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

Part C - System Point of Entry  
Sample Monthly Invoice

Agency Name:  
CFMS #:  
Contact Person:  
Address:

Phone:  
Email:

Month: \_\_\_\_\_

Vendor#: \_\_\_\_\_

Invoice #: \_\_\_\_\_

SPOE Region: \_\_\_\_\_ PROGRAM: EARLYSTEPS

Date: \_\_\_\_\_

Categories		Approved Amount	Previously Billed	Current Expenses	Balance Remaining
Personnel			\$ -	\$ -	\$
Related Benefits			-	-	
Travel			-	-	
Operating Supplies			-	-	
Supplies			-	-	
Professional Services					
Capital Assets			-	-	
Administrative			-	-	
Total			\$ -	\$ -	\$

CONTRACTOR'S CERTIFICATE

"This is to certify that the information contained on this form is true, accurate and complete and that expenditures shown above were made for the furtherance of and in conformity with the contractual agreement with DHH/OCDD."

\_\_\_\_\_  
Signature of Contractor

\_\_\_\_\_  
Date

\_\_\_\_\_  
OCDD Approval Signature

\_\_\_\_\_  
Date

225-342-0095  
Contact Phone #

## Sample SPOE Monthly Report

[illegible][illegible]

## **Attachment VI**

1. **Order of Precedence:** The contract shall, to the extent possible, be construed to give effect to all provision contained therein, however, where provisions conflict, the intent of the parties shall be determined by giving a first priority to provisions of the contract excluding the RFP and the proposal; second priority to the provision of the RFP; and third priority to the provisions of the proposal.
2. **Entire Agreement:** This contract, together with the RFP and addenda issued thereto by the Department, the proposal submitted by the contractor in response to the Department's RFP, and any exhibits specifically incorporated herein reference constitute the entire agreement between the parties with respect to the subject matter.





*Referral &  
Consulting*

*Providing Quality Services For Children and Families*

**Exhibit 1**

P.O. Box 12213  
New Iberia, LA 70562

Phone: 337-224-5842

Fax: 337-359-8747

1ststep@bellsouth.net

**STATEMENT OF SOLE OWNERSHIP**

I am engaged in business under the name of First Steps Referral and Consulting, LLC in the City of New Iberia, State of Louisiana.

I am the sole owner of First Steps Referral and Consulting, LLC, the business so conducted and no other person, firm or corporation has any interest therein.

All property in the name of First Steps Referral and Consulting, LLC belongs to me and is my sole property.

Signature

*James T. Hatcher*



# State of Louisiana

## DEPARTMENT OF HEALTH AND HOSPITALS Office for Citizens with Developmental Disabilities

March 25, 2015

Ms. Pamela Bartfay-Rice, Esq.  
Director  
Divisions of Administration  
Office of Contractual Review  
P.O. Box 94095  
Baton Rouge, LA 70804-9095

Dear Ms. Rice:

Please consider this justification for the Department of Health and Hospitals, Office for Citizens with Developmental Disabilities to enter in to a multi-year contract with the ten System Point of Entry Contractors selected through the RFP process:

- Region 1 – Easter Seals Louisiana (CFMS – 735114)
- Region 2 – Southeast Area Health Education Center (CFMS – 735115)
- Region 3 – Southeast Area Health Education Center (CFMS – 735268)
- Region 4 – First Steps Referral and Consulting, LLC (CFMS – 735229)
- Region 5 – First Steps Referral and Consulting, LLC (CFMS – 735210)
- Region 6 – Easter Seals Louisiana (CFMS – 735219)
- Region 7 – Families Helping Families at the Crossroads (CFMS – 735293)
- Region 8 – Easter Seals Louisiana (CFMS – 735294)
- Region 9 – Southeast Area Health Education Center (CFMS – 735292)
- Region 10 – Southeast Area Health Education Center (CFMS – 735213)

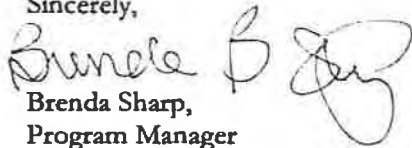
These contractors provide services for the EarlySteps system which are required by the Federal IDEA, Part C program with the US Department of Education. A multi-year contract supports the continuity of the required services: intake, initial eligibility determination, intake service coordination, as well as hosting the regional data systems for the State system for 10,000 annual referrals, and service authorizations for approximately 9300 children each year.

Funds for the first fiscal year of the contract are available and payment and performance for subsequent fiscal years shall be subject to the availability of funds.

The estimated requirements covering the period of the contract are reasonably firm and continuing and such a contract will serve the best interests of the State by encouraging effective competition or otherwise promoting economies in state procurement through the continuity of services provided over multiple years.

If further information is needed, please call (342-0095).

Sincerely,

  
Brenda Sharp,  
Program Manager

SUMMARY OF INFORMATION

<b>CONTRACTOR NAME</b> First Steps Referral and Consulting, LLC		<b>Amount</b> <b>\$ 1,379,398.00</b>
<b>CONTRACT DATES</b> <b>Effective Date</b> 05-01-2015 <b>Termination Date</b> 04-30-2018		<b>BA-22 ATTACHED</b> <input checked="" type="checkbox"/>

Certification Requirements: (Check Applicable Items)

- ☒ 1. Either no employee of this agency is both competent and available to perform the services called for by the proposed contract and/or the services called for are not the type readily susceptible of being performed by persons who are employed by the State on a continuing basis.
- ☒ 2. The services are not available as a product of a prior or existing professional, personal contract.
- ☒ 3. When applicable, the requirements for consultant contracts, as provided for under R.S. 39:1503-1507, have been complied with (proper documentation should be provided).
- ☒ 4. The using agency has developed and fully intends to implement a written plan providing for the assignment of specific using personnel to a monitoring and liaison function. Identify name of individual of staff unit responsible for monitoring this contract:

<b>Name</b> Brenda Sharp, Program Manager	<b>Phone No.</b> (225)342-0095
<b>Location</b> 628 N. 4th Street P.O. Box 3117 Bin 21 Baton Rouge, LA 70821-3117	

**Summary of Monitoring Plan:** (This must include periodic review of specified reports, documents, exception reporting, or other indicia or performance, etc.). Additional pages may be attached if necessary.

Monitoring will be achieved by receipt of all deliverables as listed on Attachment II including the review of monthly reports submitted and reports obtained through the central data system which will be monitored by the EarlySteps Program Manager.

The ultimate use of the final product of the services: (Specify)

Identify EarlySteps eligible infants and toddlers served under the Part C system thus meeting the federal benchmark of a least 2% served statewide.

- ☒ 5. Respond to questions A or B on all contracts except those funded by "Other Charges" (3600 series) of Budget:  
A. What critical services will go unprovided and to whom?  
Early intervention services would not be available to children in need.  
  
B. How many hours will the contractor have to work? N/A
- ☒ 6. Completed monitoring report will be submitted to the Office of Contractual Review within **60** days after termination of contract. **(For Personal, Professional, Consulting contracts exceeding \$20,000)**
- ☒ 7. The services have not been artificially divided to as to constitute a small purchase (not exceeding \$20,000).
- ☒ 8. A cost-benefit analysis has been conducted which indicates that obtaining such services from the private sector is more cost-effective than providing such services the agency itself or by any agreement with another state agency and includes both a short-term and long-term analysis and is available for review.
- ☒ 9. The cost basis for the proposed contract is justified and reasonable.
- ☒ 10. A description of the specific goals and objectives, deliverables, performance measures and a plan for monitoring the services to be provided are contained in the proposed contract.

PRIOR CONTRACT INFORMATION MUST BE FILLED OUT (IF NO PRIOR CONTRACT PUT N/A)

<b>PRIOR YEAR SERVICES PROVIDED BY (Contractor Name):</b> First Steps Referral and Consulting, LLC			
<b>CFMS#:</b> 730536	<b>DHH#:</b> 060298	<b>EFF:</b> 07-01-2014	<b>TERM:</b> 04-30-2015
<b>AMOUNT:</b> \$ 340,411.00	<b>PREVIOUSLY ISSUED UNDER RFP?</b> IF YES, DATE: <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO      DATE: 06-02-2011		

YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Contains a date upon which the contract is to begin and upon which the contract will terminate.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Contains a description of the work to be performed and objectives to be met.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Contains an amount and time payment to be made.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Contains a description of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Contains a date of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. When a contract includes travel and/or other reimbursable expenses, it contains language to effect the following:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	A. Travel and other reimbursable expenses shall constitute part of the total maximum payable under the contract; (or)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	B. No more than (a certain sum) of the total maximum amount payable under this contract shall be paid or received as reimbursement for travel and other reimbursable expenses; (and)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	C. Travel expenses shall be reimbursed in accordance with Division of Administration Policy and Procedure memorandum 49 (The State General Travel Regulations).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. Contains the responsibility for payment of taxes.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	8. Contains the circumstances under which the contract can be terminated either with or without cause and contains the remedies for default.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	9. Contains a statement giving the Legislative Auditor the authority to audit records of the individual(s) or firm(s).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10. Contains an assignability clause as provided for under LAC-4:4.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	11. Budget Form BA-22, fully completed and attached to back of each contract.

**DETERMINATION OF RESPONSIBILITY**

YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Had adequate financial resources for performance, or has the ability to obtain such resources as required during performance.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Has the necessary experience, organization, technical qualifications, skills and facilities or has the ability to obtain them (including probable subcontractor arrangements).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Is able to comply with the proposed or required time of delivery or performance schedule.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Has a satisfactory record of integrity, judgment and performance (contractors which are seriously delinquent in current contract performance, considering the number of contracts and the extent of delinquencies of each, shall in the absences of evidence to the contrary or compelling circumstances presumed to be unable to fulfill this agreement).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Is otherwise qualified and eligible to receive an award under applicable laws and regulations.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. If a contract for consulting services is for \$50,000 or more: The head of the using agency has prepared, signed and placed in the contract file a statement of the facts on which a determination of responsibility of offer or potential subcontractors have been filed with the statement.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. On subcontracting, it has been established that contractors recent performance history indicates acceptable subcontracting systems; or, major subcontractors have been determined by the heads of the using agency to satisfy this standard

**R.F.P. CONSULTING CONTRACTS FOR \$50,000 OR MORE; UNLESS DETERMINED EXEMPT AS PER ACT 673 of 1985, R.S. 39:1494.1 (A).**

☐ Contract file attached and this includes:

☐ Criteria for selection ☐ Proposals ☐ Pertinent Documents ☐ Selection Memorandum

**PROGRAM / FACILITY SIGNATURE**

**ASSISTANT SECRETARY OR DESIGNEE SIGNATURE**



OFFICE

PHONE NUMBER

OCDD/EarlySteps

(225)342-5715

OFFICE

Office for Citizens with Developmental Disabilities

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION  
BA-22 (REV. 09/2005)

Date: 4/2/2015 Dept/Budget Unit: 09/340/2000  
Agency Name: Office for Citizens with Developmental Disabi OCR/CFMS Contract #: 735210  
Agency BA-22 #: 32 Agency Contract #: \_\_\_\_\_

Fiscal Year for this BA-22: 2014-2015 BA-22 Start/End Dates: 05/01/15 06/30/15  
(yyyy-yy) (Start Date) (End Date)

Multi-year Contract (Yes/No): yes If "Yes", provide contract dates:  
05/01/14 04/30/18  
(Start Date) (End Date)

First Steps Referral and Consulting, LLC 55082549900  
(Contractor/Vendor Name) (Contractor/Vendor No.)

Contractor will provide System Point of Entry services with the Region 5 Parishes for EarlySteps.  
(Provide a statement of "Services Provided")

Contract Amendment (Yes/No): NO Amendment Start/End Dates: \_\_\_\_\_  
(Start Date) (End Date)

Contract Cancellation (Yes/No): NO Date of Cancellation: \_\_\_\_\_

(Provide rationale for amendment or cancellation)

This information is to be provided at the Agency Level				
MEANS OF FINANCING		AMOUNT		
		Current Year	%	Total Contract
State General Fund		\$0	0%	\$0
Interagency Transfers		\$0	0%	\$0
Fees and Self Gen.		\$0	0.0%	\$0
Statutory Dedication		\$0	0.0%	\$0
Federal		\$72,976	100%	\$1,379,398
TOTALS		\$72,976	100%	\$1,379,398

\*Specify Source (i.e., grant name, fund name, IAT sending agency and revenue source, fee type and source, etc.)  
Are revenue collections for funds utilized above in line with budgeted amounts? (Yes/No) \_\_\_\_\_  
If not, explain. \_\_\_\_\_

This information is to be provided at the Agency Level	
Name of Object Code/Category:	Miscellaneous Charges
Object Code/Category Number:	3655
Amount Budgeted:	\$15,496,069
Amount Previously Obligated:	\$6,352,193
Amount this BA-22:	\$72,976
Balance:	\$9,070,900

The approval of the aforementioned contract will not cause this agency to be placed in an Object Category deficit.

Agency Contact: \_\_\_\_\_ Reviewed/Approved By: Geetha Kumar  
Name: Clent Goff Name: Geetha Kumar  
Title: Program Manager 1 Title: Program Manager 3  
Phone: (225) 342-0943 Phone: (225) 342-8725

FOR AGENCY USE ONLY						
AGENCY	PROGRAM	ACTIVITY	ORGANIZ.	OBJECT	REPT CAT	AMOUNT
340	2000		8512	3655	8107	\$72,976.00

AMENDMENT TO  
AGREEMENT BETWEEN STATE OF LOUISIANA  
LOUISIANA DEPARTMENT OF HEALTH

Amendment #: 1  
LAGOV#: 2000122493  
LDH #: 060735

(Regional/ Program/ Facility)	Office for Citizens with Developmental Disabilities	Original Contract Amt	\$ 1,787,180.00
	EarlySteps, Louisiana's Early Intervention System	Original Contract Begin Date	05-01-2015
	AND	Original Contract End Date	04-30-2018
	Families Helping Families at the Crossroads	RFP Number:	305PUR-DHHRFP-SPOE
	Contractor Name		

AMENDMENT PROVISIONS

Change Contract From: From Maximum Amount: \$ 1,787,180.00 Current Contract Term: 04/30/2018

CF-1 Block 13 Maximum Contract Amount \$1,787,180 FY15 \$98,481, FY16 \$595,723, FY17 \$595,723, FY18 \$497,253

Block 14 Terms of Payment: See Attachment III: Budget

Change Contract To: To Maximum Amount: \$ 2,979,415.00 Changed Contract Term: 5/01/2015 - 4/30/2018

CF-1 Block 13 Maximum Contract Amount \$2,979,415 FY15 \$98,481, FY16 \$595,723, FY17 \$595,723, FY18 \$497,253 (10 month), FY 18 \$99,259 (2 month), FY19 \$595,723, FY20 \$497,253

Block 14 Terms of Payment: See Attachment III: Budget

Justifications for amendment:

The current contract, which was executed via RFP# 305PUR-DHHRFP-SPOE-2014-OCDD on May 1, 2015, expires on April 30, 2018. The RFP included an option to extend the resulting contract from 3 to 5 years. Since 2008, the RFP has been issued 3 times with no other qualified applicants competing. LDH/OCDD is satisfied with the performance of Families Helping Families at the Crossroads, in meeting all deliverables and would like to exercise the option to extend the contract the allowable 24 months, in the Region 7 parishes for EarlySteps, the Louisiana's Early Intervention program.

This Amendment Becomes Effective: 05-01-2018

This amendment contains or has attached hereto all revised terms and conditions agreed upon by contracting parties.

IN WITNESS THEREOF, this amendment is signed and entered into on the date indicated below.

CONTRACTOR		STATE OF LOUISIANA LOUISIANA DEPARTMENT OF HEALTH	
Families Helping Families at the Crossroads		Secretary, Louisiana Department of Health or Designee	
CONTRACTOR SIGNATURE	DATE	SIGNATURE	DATE
PRINT NAME	James Sprinkle	NAME	Mark A. Thomas
CONTRACTOR TITLE	Executive Director	TITLE	Assistant Secretary
		OFFICE	Office for Citizens with Developmental Disabilities
		PROGRAM SIGNATURE	DATE
		NAME	



LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Intake Service Coordinator Supervisor	25	346	8,650	100	0	8,650
EI Consultant	26.44	346	9,148	100	0	9,148
Data Management/Admn Clerk	15	346	5,190	100	0	5,190
Data Management/Admn Clerk	15	346	5,190	100	0	5,190
Intake Coordinator	20	346	6,920	100	0	6,920
Intake Coordinator	20	346	6,920	100	0	6,920
Intake Coordinator	20	346	6,920	100	0	6,920
Intake Coordinator	20	346	6,920	100	0	6,920
Intake Coordinator	20	346	6,920	100	0	6,920
Total			62,778		0	62,778

Justification

Based upon present excellent competency of staff and intake numbers.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Retirement	1,888	100	0	1,888
FICA/Medicare	5,032	100	0	5,032
Unemployment	630	100	0	630
Insurance Benefit	3,750	100	0	3,750
			0	0
			0	0
Total	11,300		0	11,300

Justification

To match past history with employee treatment and represents 18% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Intake Coordinator Supervisor	914	100	0	914
EI Consultant	914	100	0	914
Intake Coordinator	914	100	0	914
Intake Coordinator	914	100	0	914
Intake Coordinator	914	100	0	914
Intake Coordinator	914	100	0	914
Intake Coordinator	914	100	0	914
			0	0
			0	0
Total	6,398		0	6,398

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 9 parishes in Region 7.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$2020x 2)	4,040	100	0	4,040
Utilities	0	0	0	0
Telephone (\$600x 2)	1,200	100	0	1,200
Insurance Liability (\$500x 2)	1,000	100	0	1,000
Postage (\$500x 2)	1,000	100	0	1,000
			0	0
			0	0
<b>Total</b>	<b>7,240</b>		<b>0</b>	<b>7,240</b>

Justification

Due to stability of FHF, cost int his category will not increase.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Paper, files, folders, file cabinets, ink (\$900x2)	1,800	100	0	1,800
			0	0
<b>Total</b>	<b>1,800</b>		<b>0</b>	<b>1,800</b>

Justification

Office supplies, including paper, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Audit/Accounting (\$360 x 2)	720	100	0	720
			0	0
			0	0
<b>Total</b>	<b>720</b>		<b>0</b>	<b>720</b>

Justification

Meet state contract audit requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Total				

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Admn. Costs	9,023	100	0	9,023
			0	0
Total	9,023		0	9,023

Justification

Due to non-profit objectives and desire to serve community in most efficient means, this category will remain the same at 10% rather than the allowed 12%.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Total					

Justification



LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Families Helping Families @ Crossroads FROM: 5/1/18 TO: 6/30/18

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	62,778	0	62,778
RELATED BENEFITS	(41)	11,300	0	11,300
TRAVEL	(12)	6,398	0	6,398
OPERATING SERVICES	(13)	7,240	0	7,240
SUPPLIES	(14)	1,800	0	1,800
PROFESSIONAL SVCS	(15)	720	0	720
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	9,023	0	9,023
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		99,259	0	99,259

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Intake Service Coordinator Supervisor	25	2,080	52,000	100	0	52,000
EI Consultant	26.44	2,080	54,995	100	0	54,995
Data Management/Admn Clerk	15	2,080	31,200	100	0	31,200
Data Management/Admn Clerk	15	2,080	31,200	100	0	31,200
Intake Coordinator	20	2,080	41,600	100	0	41,600
Intake Coordinator	20	2,080	41,600	100	0	41,600
Intake Coordinator	20	2,080	41,600	100	0	41,600
Intake Coordinator	20	2,080	41,600	100	0	41,600
Intake Coordinator	20	2,080	41,600	100	0	41,600
Total			377,395		0	377,395

Justification

Based upon present excellent competency of staff and intake numbers.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Retirement	11,328	100	0	11,328
FICA/Medicare	30,192	100	0	30,192
Unemployment	3,780	100	0	3,780
Insurance Benefit	22,631	100	0	22,631
			0	0
Total	67,931		0	67,931

Justification

To match past history with employee treatment and represents related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Intake Coordinator Supervisor	5,485	100	0	5,485
EI Consultant	5,485	100	0	5,485
Intake Coordinator	5,486	100	0	5,486
Intake Coordinator	5,486	100	0	5,486
Intake Coordinator	5,486	100	0	5,486
Intake Coordinator	5,486	100	0	5,486
Intake Coordinator	5,486	100	0	5,486
			0	0
			0	0
Total	38,400		0	38,400

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 9 parishes in Region 7.



<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Rent (\$2020x12)	24,240	100	0	24,240
Utilities	0	0	0	0
Telephone (\$600x12)	7,200	100	0	7,200
Insurance Liability (\$500x12)	6,000	100	0	6,000
Postage (\$500x12)	6,000	100	0	6,000
			0	0
			0	0
<b>Total</b>	<b>43,440</b>		<b>0</b>	<b>43,440</b>

Justification

Due to stability of FHF, cost int his category will not increase.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Paper, files, folders, file cabinets, ink (\$900x12	10,800	100	0	10,800
			0	0
<b>Total</b>	<b>10,800</b>		<b>0</b>	<b>10,800</b>

Justification

Office supplies, including paper, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From LDH</b>	<b>Column 2 Non LDH Funds</b>	<b>Column 3 Requested From LDH</b>
Audit/Accounting (\$300x12)	3,600	100	0	3,600
			0	0
<b>Total</b>	<b>3,600</b>		<b>0</b>	<b>3,600</b>

Justification

Meet state contract audit requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Total				

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Admn. Costs	54,157	100	0	54,157
			0	0
Total	54,157		0	54,157

Justification

Due to non-profit objectives and desire to serve community in most efficient means, this category will remain the same at 10% rather than the allowed 12%.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Total					

Justification



LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Families Helping Families @ Crossroads FROM: 7/1/18 TO: 6/30/19

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	377,395	0	377,395
RELATED BENEFITS	(41)	67,931	0	67,931
TRAVEL	(12)	38,400	0	38,400
OPERATING SERVICES	(13)	43,440	0	43,440
SUPPLIES	(14)	10,800	0	10,800
PROFESSIONAL SVCS	(15)	3,600	0	3,600
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	54,157	0	54,157
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		595,723	0	595,723

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

LDH Contract Budget Detail  
Section

Attachment

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From LDH	Non LDH Funds	Amount Requested From LDH
Intake Service Coordinator Supervisor	25	1,734	43,350	100	0	43,350
EI Consultant	26.44	1,734	45,847	100	0	45,847
Data Management/Admn Clerk	15	1,734	26,010	100	0	26,010
Data Management/Admn Clerk	15	1,734	26,010	100	0	26,010
Intake Coordinator	20	1,734	34,680	100	0	34,680
Intake Coordinator	20	1,734	34,680	100	0	34,680
Intake Coordinator	20	1,734	34,680	100	0	34,680
Intake Coordinator	20	1,734	34,680	100	0	34,680
Intake Coordinator	20	1,734	34,680	100	0	34,680
Total			314,617		0	314,617

Justification

Based upon present excellent competency of staff and intake numbers.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Retirement	9,440	100	0	9,440
FICA/Medicare	25,160	100	0	25,160
Unemployment	3,150	100	0	3,150
Insurance Benefit	18,881	100	0	18,881
			0	0
Total	56,631		0	56,631

Justification

To match past history with employee treatment and represents 18% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Intake Coordinator Supervisor	4,572	100	0	4,572
EI Consultant	4,572	100	0	4,572
Intake Coordinator	4,572	100	0	4,572
Intake Coordinator	4,571	100	0	4,571
Intake Coordinator	4,571	100	0	4,571
Intake Coordinator	4,571	100	0	4,571
Intake Coordinator	4,571	100	0	4,571
			0	0
Total	32,000		0	32,000

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 9 parishes in Region 7.

(13) Operating Services	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Rent (\$2020x10)	20,200	100	0	20,200
Utilities	0	0	0	0
Telephone (\$600x10)	6,000	100	0	6,000
Insurance Liability (\$500x10)	5,000	100	0	5,000
Postage (\$500x10)	5,000	100	0	5,000
			0	0
Total	36,200		0	36,200

Justification

Due to stability of FHF, cost int his category will not increase.

(14) Supplies	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Paper, files, folders, file cabinets, ink (\$900x10	9,000	100	0	9,000
			0	0
Total	9,000		0	9,000

Justification

Office supplies, including paper, folders, etc. essential for contract deliverables.

(15) Professional Services	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Audit/Accounting (\$360x10)	3,600	100	0	3,600
			0	0
Total	3,600		0	3,600

Justification

Meet state contract audit requirements.



(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Total				

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Admn. Costs	45,205	100	0	45,205
Total	45,205		0	45,205

Justification

Due to non-profit objectives and desire to serve community in most efficient means, this category will remain the same at 10% rather than the allowed 12%.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From LDH	Column 2 Non LDH Funds	Column 3 Requested From LDH
Total					

Justification



LDH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

Attachment

CONTRACTOR: Families Helping Families @ Crossroads FROM: 7/1/19 TO: 4/30/20

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM LDH
SALARIES AND WAGES	(11)	314,617	0	314,617
RELATED BENEFITS	(41)	56,631	0	56,631
TRAVEL	(12)	32,000	0	32,000
OPERATING SERVICES	(13)	36,200	0	36,200
SUPPLIES	(14)	9,000	0	9,000
PROFESSIONAL SVCS	(15)	3,600	0	3,600
CAPITAL ASSETS	(16)			
ADMINISTRATIVE	(17)	45,205	0	45,205
(Enter Cat 1 name)	0			
(Enter Cat 2 name)	0			
TOTAL COST		497,253	0	497,253

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

2000122493

DHH - CF - 1  
Revised: 2011-06

CONTRACT BETWEEN STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS

CFMS: 735293

DHH: 060749

Office for Citizens with Developmental Disabilities

Agency # 340

EarlySteps, Louisiana's Early Intervention System

AND

Families Helping Families @ the Crossroads

FOR

☐ Personal Services ☐ Professional Services ☐ Consulting Services ☒ Social Services

1) Contractor (Legal Name if Corporation) Families Helping Families @ the Crossroads			5) Federal Employer Tax ID# or Social Security # 72121337800 (Must be 11 Digits)		
2) Street Address 2840 Military Hwy			6) Parish(es) Served 07, 08, 09, 14, 16, 35, 41, 43, 60		
City Pineville	State LA	Zip Code 71360	7) License or Certification # NA		
3) Telephone Number (318) 641-7373			8) Contractor Status  Subrecipient: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Corporation: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No For Profit: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Publicly Traded: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
4) Mailing Address (if different)					
City	State	Zip Code	8a) CFDA#(Federal Grant #) 84.181A		

9) Brief Description Of Services To Be Provided:  
Contractor will provide System Point of Entry (SPOE) services with the Region 7 parishes for EarlySteps, Louisiana's Early Intervention System and its eligible infants & toddler from birth to three as regulated under Part C of the Individuals with Disabilities Education Improvement Act (IDEA). Contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and supporting the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family . The contractor will maintain electronic and hard copy paper files of the early intervention records. Contractor shall perform work in accordance with Attachment II: Statement of Work.

10) Effective Date 05-01-2015	11) Termination Date 04-30-2018
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12) This contract may be terminated by either party upon giving thirty (30) days advance written notice to the other party with or without cause but in no case shall continue beyond the specified termination date.

13) Maximum Contract Amount \$ 1,787,180.00	14/15-98,481 15/16-595,723 16/17-595,723 17/18 - 497,253
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14) Terms of Payment  
If progress and/or completion of services are provided to the satisfaction of the initiating Office/Facility, payments are to be made as follows:  
Fiscal will pay invoices within (20) days after receipt.

Travel will be reimbursed in accordance with PPM 49.

Authorization for payment will be made upon submission of deliverables summarized within monthly report and itemized invoices after approval from the Program Manager. Contractor will be paid on a cost reimbursement basis in accordance with attached budget.

Contractor obligated to submit final invoices to Agency within fifteen (15) days after termination of contract.

PAYMENT WILL BE MADE ONLY UPON APPROVAL OF:	First Name Brenda	Last Name Sharp
	Title Program Manager	Phone Number (225) 342-0095

15) Special or Additional Provisions which are incorporated herein, if any (IF NECESSARY, ATTACH SEPARATE SHEET AND REFERENCE):

- Attachment I: HIPAA Addendum  
Attachment II: Statement of Work  
Attachment III Budget  
Attachment IV: Monthly Invoice  
Attachment V: SPOE Monthly Report  
Attachment VI: Order of Precedence
- Exhibit I: Board Resolution  
Exhibit II: Multi Year Letter

**During the performance of this contract, the Contractor hereby agrees to the following terms and conditions:**

1. Contractor hereby agrees to adhere as applicable to the mandates dictated by Titles VI and VII of the Civil Rights Act of 1964, as amended; the Vietnam Era Veterans' Readjustment Assistance Act of 1974; Americans with Disabilities Act of 1990 as amended; the Rehabilitation Act of 1973 as amended; Sec. 202 of Executive Order 11246 as amended, and all applicable requirements imposed by or pursuant to the regulations of the U. S. Department of Health and Human Services. Contractor agrees not to discriminate in the rendering of services to and/or employment of individuals because of race, color, religion, sex, age, national origin, handicap, political beliefs, disabled veteran, veteran status, or any other non-merit factor.
2. Contractor shall abide by the laws and regulations concerning confidentiality which safeguard information and the patient/client confidentiality. Information obtained shall not be used in any manner except as necessary for the proper discharge of Contractor's obligations. (The Contractor shall establish, subject to review and approval of the Department, confidentiality rules and facility access procedures.)
3. The State Legislative Auditor, Office of the Governor, Division of Administration, and Department Auditors or those designated by the Department shall have the option of auditing all accounts pertaining to this contract during the contract and for a three year period following final payment. Contractor grants to the State of Louisiana, through the Office of the Legislative Auditor, Department of Health and Hospitals, and Inspector General's Office, Federal Government and/or other such officially designated body the right to inspect and review all books and records pertaining to services rendered under this contract, and further agrees to guidelines for fiscal administration as may be promulgated by the Department. Records will be made available during normal working hours.

Contractor shall comply with federal and state laws and/or DHH Policy requiring an audit of the Contractor's operation as a whole or of specific program activities. Audit reports shall be sent within thirty (30) days after the completion of the audit, but no later than six (6) months after the end of the audit period. If an audit is performed within the contract period, for any period, four (4) copies of the audit report shall be sent to the Department of Health and Hospitals, Attention: **Division of Fiscal Management, P.O. Box 91117, Baton Rouge, LA 70821-3797** and one (1) copy of the audit shall be sent to the **originating DHH Office**.

4. Contractor agrees to retain all books, records and other documents relevant to the contract and funds expended thereunder for at least four (4) years after final payment or as prescribed in 45 CFR 74:53 (b) whichever is longer. Contractor shall make available to the Department such records within thirty (30) days of the Department's written request and shall deliver such records to the Department's central office in Baton Rouge, Louisiana, all without expense to the Department. Contractor shall allow the Department to inspect, audit or copy records at the contractor's site, without expense to the Department.
5. Contractor shall not assign any interest in this contract and shall not transfer any interest in the same (whether by assignment or novation), without written consent of the Department thereto, provided, however, that claims for money due or to become due to Contractor from the Department under this contract may be assigned to a bank, trust company or other financial institution without advanced approval. Notice of any such assignment or transfer shall be promptly furnished to the Department and the Division of Administration, Office of Contractual Review.
6. Contractor hereby agrees that the responsibility for payment of taxes from the funds received under this contract shall be Contractor's. The contractor assumes responsibility for its personnel providing services hereunder and shall make all deductions for withholding taxes, and contributions for unemployment compensation funds.
7. Contractor shall obtain and maintain during the contract term all necessary insurance including automobile insurance, workers' compensation insurance, and general liability insurance. The required insurances shall protect the Contractor, the Department of Health and Hospitals, and the State of Louisiana from all claims related to Contractor's performance of this contract. Certificates of Insurance shall be filed with the Department for approval. Said policies shall not be canceled, permitted to expire, or be changed without thirty (30) days advance written notice to the Department. Commercial General Liability Insurance shall provide protection during the performance of work covered by the contract from claims or damages for personal injury, including accidental death, as well as claims for property damages, with combined single limits prescribed by the Department.
8. In cases where travel and related expenses are required to be identified separate from the fee for services, such costs shall be in accordance with State Travel Regulations. The contract contains a maximum compensation which shall be inclusive of all charges including fees and travel expenses.
9. No funds provided herein shall be used to urge any elector to vote for or against any candidate or proposition on an election ballot nor shall such funds be used to lobby for or against any proposition or matter having the effect of law being considered by the legislature or any local governing authority. This provision shall not prevent the normal dissemination of factual information relative to a proposition or any election ballot or a proposition or matter having the effect of law being considered by the legislature or any local governing authority. Contracts with individuals shall be exempt from this provision.
10. Should contractor become an employee of the classified or unclassified service of the State of Louisiana during the effective period of the contract, Contractor must notify his/her appointing authority of any existing contract with State of Louisiana and notify the contracting office of any additional state employment. This is applicable only to contracts with individuals.

11. All non-third party software and source code, records, reports, documents and other material delivered or transmitted to Contractor by State shall remain the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract. All non-third party software and source code, records, reports, documents, or other material related to this contract and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract.

12. Contractor shall not enter into any subcontract for work or services contemplated under this contract without obtaining prior written approval of the Department. Any subcontracts approved by the Department shall be subject to conditions and provisions as the Department may deem necessary; provided, however, that notwithstanding the foregoing, unless otherwise provided in this contract, such prior written approval shall not be required for the purchase by the contractor of supplies and services which are incidental but necessary for the performance of the work required under this contract. No subcontract shall relieve the Contractor of the responsibility for the performance of contractual obligations described herein.

13. No person and no entity providing services pursuant to this contract on behalf of contractor or any subcontractor is prohibited from providing such services by the provisions of R.S. 42:1113 as amended in the 2008 Regular Session of the Louisiana Legislature.

14. No claim for services furnished or requested for reimbursement by Contractor, not provided for in this contract, shall be allowed by the Department. In the event the Department determines that certain costs which have been reimbursed to Contractor pursuant to this or previous contracts are not allowable, the Department shall have the right to set off and withhold said amounts from any amount due the Contractor under this contract for costs that are allowable.

15. This contract is subject to and conditioned upon the availability and appropriation of Federal and/or State funds; and no liability or obligation for payment will develop between the parties until the contract has been approved by required authorities of the Department; and, if contract exceeds \$20,000, the Director of the Office of Contractual Review, Division of Administration in accordance with La. R.S. 39:1502..

16. The continuation of this contract is contingent upon the appropriation of funds from the legislature to fulfill the requirements of the contract. If the Legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds are not appropriated.

17. Any alteration, variation, modification, or waiver of provisions of this contract shall be valid only when reduced to writing, as an amendment duly signed, and approved by required authorities of the Department; and, if contract exceeds \$20,000, approved by the Director of the Office of Contractual Review, Division of Administration. Budget revisions approved by both parties in cost reimbursement contracts do not require an amendment if the revision only involves the realignment of monies between originally approved cost categories.

18. Any contract disputes will be interpreted under applicable Louisiana laws and regulations in Louisiana administrative tribunals or district courts as appropriate.

19. Contractor will warrant all materials, products and/or services produced hereunder will not infringe upon or violate any patent, copyright, trade secret, or other proprietary right of any third party. In the event of any such claim by any third party against DHH, the Department shall promptly notify Contractor in writing and Contractor shall defend such claim in DHH's name, but at Contractor's expense and shall indemnify and hold harmless DHH against any loss, expense or liability arising out of such claim, whether or not such claim is successful. This provision is not applicable to contracts with physicians, psychiatrists, psychologists or other allied health providers solely for medical services.

20. Any equipment purchased under this contract remains the property of the Contractor for the period of this contract and future continuing contracts for the provision of the same services. Contractor must submit vendor invoice with reimbursement request. For the purpose of this contract, equipment is defined as any tangible, durable property having a useful life of at least (1) year and acquisition cost of \$1000.00 or more. The contractor has the responsibility to submit to the Contract Monitor an inventory list of DHH equipment items when acquired under the contract and any additions to the listing as they occur. Contractor will submit an updated, complete inventory list on a quarterly basis to the Contract Monitor. Contractor agrees that upon termination of contracted services, the equipment purchased under this contract reverts to the Department. Contractor agrees to deliver any such equipment to the Department within 30 days of termination of services.

21. Contractor agrees to protect, indemnify and hold harmless the State of Louisiana, DHH, from all claims for damages, costs, expenses and attorney fees arising in contract or tort from this contract or from any acts or omissions of Contractor's agents, employees, officers or clients, including premises liability and including any claim based on any theory of strict liability. This provision does not apply to actions or omissions for which LA R.S. 40:1299.39 provides malpractice coverage to the contractor, nor claims related to treatment and performance of evaluations of persons when such persons cause harm to third parties (R.S. 13:5108.1(E)). Further it does not apply to premises liability when the services are being performed on premises owned and operated by DHH.



22. Any provision of this contract is severable if that provision is in violation of the laws of the State of Louisiana or the United States, or becomes inoperative due to changes in State and Federal law, or applicable State or Federal regulations.
23. Contractor agrees that the current contract supersedes all previous contracts, negotiations, and all other communications between the parties with respect to the subject matter of the current contract.

THIS CONTRACT CONTAINS OR HAS ATTACHED HERETO ALL THE TERMS AND CONDITIONS AGREED UPON BY THE CONTRACTING PARTIES. IN WITNESS THEREOF, THIS CONTRACT IS SIGNED ON THE DATE INDICATED BELOW.

Families Helping Families @ the Crossroads

STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS

  
SIGNATURE  
3/9/15  
DATE  
James Sprinkle

SIGNATURE  
DATE  
Kathy Kliebert

NAME  
Executive Director  
TITLE

NAME  
Secretary, Department of Health and Hospital or Designee  
TITLE

EarlySteps, Louisiana's Early Intervention System

Office for Citizens with Developmental Disabilities

SIGNATURE  
DATE  
Brenda Sharp

  
SIGNATURE  
5-15-15  
DATE  
Mark A. Thomas

NAME  
Program Manager  
TITLE

NAME  
Assistant Secretary  
TITLE



**Office of State Procurement  
PROACT Contract Certification of Approval**

**This certificate serves as confirmation that the Office of State Procurement has reviewed and approved the contract referenced below.**

**Reference Number:** 735293

**Vendor:** Families Helping Families @ the Crossroads

**Description:** 735293 - Contractor will provide System Point of Services (SPOE) Reg 7

**Approved By:** Pamela Rice

**Approval Date:** 7/01/2015

The above referenced number has been assigned by this office and will be used as identification for the approved contract. Please use this number when referring to the contract in any future correspondence or amendment(s).

The Internal Revenue Service (IRS) may find that this contract creates an employment relationship between your agency and the contractor. You should be advised that your agency is responsible for all taxes and penalties if such a finding is forthcoming. It is incumbent upon your agency to determine if an employee/employer relationship exists. Your agency must make the appropriate withholdings in accordance with law and IRS regulations, if applicable.

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## HIPAA Business Associate Addendum

This HIPAA Business Associate Addendum is hereby made a part of this contract in its entirety as Attachment \_\_\_\_\_ to the contract.

1. The Louisiana Department of Health and Hospitals ("DHH") is a Covered Entity, as that term is defined herein, because it functions as a health plan and as a health care provider that transmits health information in electronic form.
2. Contractor is a Business Associate of DHH, as that term is defined herein, because contractor either: (a) creates, receives, maintains, or transmits PHI for or on behalf of DHH; or (b) provides legal, actuarial, accounting, consulting, data aggregation, management, administrative, accreditation, or financial services for DHH involving the disclosure of PHI.
3. Definitions: As used in this addendum –
  - A. The term "HIPAA Rules" refers to the federal regulations known as the HIPAA Privacy, Security, Enforcement, and Breach Notification Rules, found at 45 C.F.R. Parts 160 and 164, which were originally promulgated by the U. S. Department of Health and Human Services (DHHS) pursuant to the Health Insurance Portability and Accountability Act ("HIPAA") of 1996 and were subsequently amended pursuant to the Health Information Technology for Economic and Clinical Health ("HITECH") Act of the American Recovery and Reinvestment Act of 2009.
  - B. The terms "Business Associate", "Covered Entity", "disclosure", "electronic protected health information" ("electronic PHI"), "health care provider", "health information", "health plan", "protected health information" ("PHI"), "subcontractor", and "use" have the same meaning as set forth in 45 C.F.R. § 160.103.
  - C. The term "security incident" has the same meaning as set forth in 45 C.F.R. § 164.304.
  - D. The terms "breach" and "unsecured protected health information" ("unsecured PHI") have the same meaning as set forth in 45 C.F.R. § 164.402.
4. Contractor and its agents, employees and subcontractors shall comply with all applicable requirements of the HIPAA Rules and shall maintain the confidentiality of all PHI obtained by them pursuant to this contract and addendum as required by the HIPAA Rules and by this contract and addendum.
5. Contractor shall use or disclose PHI solely: (a) for meeting its obligations under the contract; or (b) as required by law, rule or regulation (including the HIPAA Rules) or as otherwise required or permitted by this contract and addendum.
6. Contractor shall implement and utilize all appropriate safeguards to prevent any use or disclosure of PHI not required or permitted by this contract and addendum, including administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the electronic protected health information that it creates, receives, maintains, or transmits on behalf of DHH.
7. In accordance with 45 C.F.R. § 164.502(e)(1)(ii) and (if applicable) § 164.308(b)(2), contractor shall ensure that any agents, employees, subcontractors or others that create, receive, maintain, or transmit PHI on behalf of contractor agree to the same restrictions, conditions and requirements that apply to contractor with respect to such information, and it shall ensure that they implement reasonable and appropriate safeguards to protect such information. Contractor shall take all reasonable steps to ensure that its agents', employees' or subcontractors' actions or omissions do not cause contractor to violate this contract and addendum.
8. Contractor shall, within three (3) days of becoming aware of any use or disclosure of PHI, other than as permitted by this contract and addendum, report such disclosure in writing to the person(s) named in section 14 (Terms of Payment), page 1 of the CF-1. Disclosures which must be reported by contractor include, but are not limited to, any security incident, any breach of unsecured PHI, and any "breach of the security system" as defined in the Louisiana Database Security Breach Notification Law, La.R.S. 51:3071 *et seq.* At the option of DHH, any harm or damage resulting from any use or disclosure which violates this contract and addendum shall be mitigated, to the extent practicable, either: (a) by contractor at its own expense; or (b) by DHH, in which case contractor shall reimburse DHH for all expenses that DHH is required to incur in undertaking such mitigation activities.
9. To the extent that contractor is to carry out one or more of DHH's obligations under 45 C.F.R. Part 164, Subpart E, contractor shall comply with the requirements of Subpart E that apply to DHH in the performance of such obligation(s).
10. Contractor shall make available such information in its possession which is required for DHH to provide an accounting of disclosures in accordance with 45 CFR § 164.528. In the event that a request for accounting is made directly to contractor, contractor shall forward such request to DHH within two (2) days of such receipt. Contractor shall implement an appropriate record keeping process to enable it to comply with the requirements of this provision. Contractor shall maintain data on all disclosures of PHI for which accounting is required by 45 CFR § 164.528 for at least six (6) years after the date of the last such disclosure.
11. Contractor shall make PHI available to DHH upon request in accordance with 45 CFR § 164.524.
12. Contractor shall make PHI available to DHH upon request for amendment and shall incorporate any amendments to PHI in accordance with 45 CFR § 164.526.
13. Contractor shall make its internal practices, books, and records relating to the use and disclosure of PHI received from or created or received by contractor on behalf of DHH available to the Secretary of the U. S. DHHS for purposes of determining DHH's compliance with the HIPAA Rules.
14. Contractor shall indemnify and hold DHH harmless from and against any and all liabilities, claims for damages, costs, expenses and attorneys' fees resulting from any violation of this addendum by contractor or by its agents, employees or subcontractors, without regard to any limitation or exclusion of damages provision otherwise set forth in the contract.
15. The parties agree that the legal relationship between DHH and contractor is strictly an independent contractor relationship. Nothing in this contract and addendum shall be deemed to create a joint venture, agency, partnership, or employer-employee relationship between DHH and contractor.
16. Notwithstanding any other provision of the contract, DHH shall have the right to terminate the contract immediately if DHH determines that contractor has violated any provision of the HIPAA Rules or any material term of this addendum.
17. At the termination of the contract, or upon request of DHH, whichever occurs first, contractor shall return or destroy (at the option of DHH) all PHI received or created by contractor that contractor still maintains in any form and retain no copies of such information; or if such return or destruction is not feasible, contractor shall extend the confidentiality protections of the contract to the information and limit further uses and disclosure to those purposes that make the return or destruction of the information infeasible.

## ATTACHMENT II

### Statement of Work

#### **GOAL/PURPOSE**

The contractor will provide System Point of Entry services to infants and toddlers (birth to three years old) who have developmental delays or diagnosed medical conditions likely to result in developmental delays in accordance with the Individuals with Disabilities Education Improvement Act (IDEA). The contractor will be responsible for initial Service Coordination, the eligibility determination and enrollment process for each referred child and family, and the completion of the initial Individualized Family Service Plan (IFSP) for each eligible child and family in EarlySteps, Louisiana's IDEA Part C system.

#### **Deliverable 1**

The contractor shall provide qualified and trained Intake Support Coordinators to provide the required services outlined below and to function as the EarlySteps initial point of contact for the designated region.

**Deliverable 1.1:** Contractor will receive referrals from a parent, family member, physician, teacher, service providers, agencies, etc. Contractor will respond to each referral within specified timelines, and the following services will be offered: intake coordination via face-to-face interview and/or telephone contact, screening of the child, review of referral information and concerns, access of other health or evaluation information. The contractor must conduct the face-to-face interview with the family in their natural environment unless otherwise arranged with the family and with documentation that supports the family's decision.

**Deliverable 1.2:** Contractor will ensure that completion of the initial face-to-face interview with the family will include providing the following information: introduction of the family to the EarlySteps system and providing to the family, in the family's primary language or other mode of communication (including in writing), their procedural safeguards and their right to due process under IDEA-Part C in 34 CFR 303.400-438 related to intake and eligibility procedures.

**Deliverable 1.3:** Contractor will receive informed written consent from the parent/legal guardian to participate in the EarlySteps system in order to proceed with the intake process, eligibility process, accessing of information requests and initial IFSP development.

**Deliverable 1.4:** Contractor will request and document receipt of information from appropriate health, medical, educational, and other community services providers with parental consent.

**Outcome 1.5:** Contractor will complete the family interview and developmental screening of each referred child using the Ages and Stages Questionnaire or other tool approved by EarlySteps for children referred for developmental delay.

**Deliverable 1.6:** Contractor will ensure receipt of all relevant information from the family to complete intake process including: Medicaid eligibility verification, insurance and income verification and eligibility for and referral to other community programs/services.

- The SPOE shall verify Medicaid eligibility according to the requirements specified in Chapter 4 of the Practice Manual located at <http://www.earlysteps.dhh.louisiana.gov>.

**Deliverable 1.7:** Contractor will conduct a determination of need coordinated with the EarlySteps central and regional office staff, to access the surrogate parent system. The contractor's role shall include: Submitting any such names and addresses to OCDD for appropriate surrogate parent action, using the state-developed form; assisting OCDD in recruiting surrogate parent volunteers; assisting OCDD with local surrogate parent training if necessary; reviewing the child's situation in regards to whether a parent or guardian is present; and determining if a referred child would benefit from a surrogate parent. Within ten (10) business days of the child's initial referral to the contractor, the contractor must complete and return to OCDD the designated form for each child believed to be eligible to receive a surrogate appointment based on the criteria set forth under 34 CFR 303.406. OCDD shall appoint a surrogate parent and inform the contractor of the appointment.

**Deliverable 1.8:** Contractor will send an acknowledgement of receipt of referral form to referral sources using a standard acknowledgement letter provided by EarlySteps.

**Deliverable 1.9:** Contractor will send certified letters to families when contact attempts fail.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of referrals processed within 3 business days.
- Documentation of percentage of face-to-face interviews with families within 10 business days.
- Documentation of percentage of referral acknowledgements sent within 5 business days.

## ATTACHMENT II

### Statement of Work

- Documentation of percentage of certified letters sent to families after 3 documented contact attempts.
- Reports reflect accuracy of chart data within acceptable parameters as determined in monitoring activities.
- Documentation that parent CQI survey results shall be conducted by the contractor and consistent with targets set for the Louisiana Annual Performance Report (APR) for Indicator 4 for appropriate SPOE region. The APR is posted on the EarlySteps website.

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports
- Review results of parent survey data
- Review chart for required activity documentation

#### **Deliverable 2: Conduct Eligibility Determination Process**

The contractor shall coordinate eligibility determination for each child who enters the process following screening, arrange for the eligibility evaluator, early intervention consultant, family, and other multidisciplinary team members as appropriate, and facilitate the eligibility and/or IFSP team meetings. (Approximately 5,100 eligibility evaluations were coordinated by the SPOEs in 2012-13).

Deliverable 2.1: Contractor will collect relevant assessments and evaluations shall be collected from other sources including the referral source.

Deliverable 2.2: Contractor will assemble appropriate multidisciplinary team to review the referral information and previous assessment/medical information and to participate in the eligibility determination process in accordance with IDEA Part C regulations and EarlySteps policies. This team shall be an in-house multidisciplinary team with experience with evaluating infants and toddlers with disabilities, including the early intervention consultant, and/or shall be selected from the EarlySteps-enrolled early intervention evaluation providers. Payment for the EarlySteps-enrolled evaluators will be billed by them separately according to current EarlySteps process, not through the SPOE contractor.

Deliverable 2.3: Contractor will complete the determination of eligibility as required under IDEA Part C IDEA and state and federal regulations, the EarlySteps Practice Manual and the training modules: Making Informed Decisions, Battelle Developmental-2 Inventory and the Autism Screening module. Autism screening shall be conducted with children 18 months of age and annually thereafter.

Deliverable 2.4: Contractor will conduct referrals to community supports and resources and other services, including referral for EPSDT case management for children not eligible for EarlySteps.

#### **Performance Measures**

Contractor shall provide or maintain:

- The contractor shall meet the timelines specified in the RFP. EIDS captures the data based on SPOE performance. Reports shall be generated based on these activities. In addition the SPOE shall submit a monthly performance report which is included as Attachment XI. Accurate completion of data entry results shall be in successfully issued authorizations.
- Documentation of percentage of children processed from referral to initial IFSP within 45 calendar days, consistent with targets for APR and regional targets as specified in Attachment VIII
- Documentation of parent CQI survey results shall be consistent with targets set in Louisiana APR Indicator 4
- Documentation of identification of children shall be referred to EPSDT by the Bureau of Health Services Financing contractor
- Documentation of the number of eligibility evaluations completed by the multidisciplinary eligibility team

#### **Monitoring Plan**

The contract monitor will:

- Review of data from the Early Intervention Data System (EIDS)
- Review of monthly SPOE reports and self-assessments
- Review of the results of parent survey data.
- Review of chart for required documentation

## ATTACHMENT II

### Statement of Work

#### **Deliverable 3: Assess family concerns, priorities, and resources and develop initial Individualized Family Service Plan (IFSP)**

The contractor will coordinate the results of the evaluation and assessment process including the family-directed assessment, information collected during the intake process, results of the evaluation and assessment data, using a team-based model, which supports decision-making necessary to develop the IFSP as specified below:

**Deliverable 3.1:** Contractor will ensure that family concerns, priorities and resources are accurately reflected in the IFSP following an assessment conducted as part of the eligibility determination process for families of eligible children.

**Deliverable 3.2:** Contractor will ensure that the family chooses a Family Service Coordinator and Providers from the Service Matrix.

**Deliverable 3.3:** Contractor will ensure that an IFSP team is assembled that consist of the following members:

- Parent(s) of the child
- Other family members, requested by the parent(s)
- An advocate or other person(s) requested by the family,
- The Family Service Coordinator selected by the family at the time of the initial referral, as defined under 34 CFR 303.34 that has been designated responsible for the implementation of the IFSP.
- Person(s) involved in conducting the evaluations and assessments, in-person or through other means, such as participation by telephone conference call or through pertinent records that are available at the meeting. A knowledgeable authorized representative may also attend the meeting as a substitute for the person unable to attend [34 CFR 303.343 (a) (v)], and
- Service providers [34 CFR 303.343 (a) (vi)] as appropriate.

**Deliverable 3.4:** Contractor will complete the initial IFSP within 45 calendar days of referral that identify child and family priorities according to IFSP requirements.

**Deliverable 3.5:** Contractor will complete referrals and transition activities for children referred to the OCDD and the local education agency (LEA) prior to the child's 3rd birthday according to EarlySteps and OCDD policy. Referrals to other resource agencies, such as Families Helping Families, Child Care Resource and Referral Agencies, Head Start and Early Head Start, etc., identified during intake process shall be made.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of completion of activities associated with referral, eligibility determination, and initial IFSP within 45calendar days.
- Documentation that IFSPs are complete and accurately identify child and family outcomes from assessment process
- Documentation of average costs of services within service guidelines  
EarlySteps utilizes Service Guidelines called IFSP Team services process found in Chapter 6 of the Practice Manual which outlines a process based upon 24 hours of services in 6 months. These are the service guidelines referred to in the RFP from which average per child costs can be determined. Average per child costs are typically \$2100 per child for service costs only. Variations from this guideline are allowable according to the defined process. SPOEs shall follow the guidelines in the development of the initial IFSP so that cost effectiveness is demonstrated.
- Documentation of percentage of IFSPs completed which meet targets for Louisiana APR indicators 1, 2, 7, and 8

#### **Monitoring Plan**

The contract monitor will:

- Review of chart for hard copy of IFSP, transition meeting and documentation of referrals sent to OCDD and the LEA
- Review of EIDS data is within established parameters for region according to quarterly EIDS reports
- Review of Corrective Action Plans developed and timely correction of any targets not met
- Review of monthly report submitted to regional and central office staff. Attachment XI of the RFP outlines the data that EarlySteps requires for monthly reporting by the SPOE.
- Review evidence of team process in IFSP development according to signatures of participating members.



## ATTACHMENT II

### Statement of Work

**Deliverable 4: Provide administrative functions related to collecting family financial information, issuing service authorizations and data entry for the Central Finance Office (CFO).**

The contractor will perform activities which support timely service delivery for enrolled infants and toddlers and accurate, timely data reporting as specified below:

**Deliverable 4.1:** Contractor will submit Service authorizations to the CFO within 2 business days of the initial IFSP meeting.

**Deliverable 4.2:** Contractor will ensure that subsequent service authorizations are received from and processed for the FSC and service providers within 3 days following an IFSP review /revision.

**Deliverable 4.3:** Contractor will ensure that each child's Master record is maintained as specified below.

**Deliverable 4.4:** Contractor will ensure that data uploads to CFO are conducted according to the established schedule.

**Deliverable 4.5:** Contractor will ensure that Family income information is collected during the intake process for entry into EIDS and issuance of the Family Cost Participation Notice Statement. Ongoing financial data entry will occur annually as well.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of percentage of IFSPs completed which shall meet targets for Louisiana APR Indicators 1, 2, 7, and 8
- Documentation of IFSP services fully authorized for initial service provision shall occur within 30 days of parent consent. Service providers shall be able to provide timely services following access to service authorizations
- Documentation of Family Cost Share shall be accurately calculated requiring a minimum of system adjustments following entry

#### **Monitoring Plan**

The contract monitor will:

- Review chart for master copy of IFSP and other documentation for child master record
- Review provider billing processed by CFO and Medicaid
- Review EIDS data within state-established parameters

#### **Deliverable 5: Establish and Maintain Record Keeping System according to Federal and State Requirements**

The contractor shall establish and maintain records for each child as well as in support of business operations as specified below:

**Deliverable 5.1:** Contractor will maintain all early intervention records shall be maintained in accordance with the applicable regulations under IDEA, Family Education Rights and Privacy Act (FERPA) and Education Department General Accounting Rules (EDGAR), including hard copy paper file and electronic file record, as described below, regardless of the outcome of the intake process (i.e. eligible or not, accept or decline services, etc.).

**Deliverable 5.2:** Contractor will use the Early Intervention data system software (EIDS) operated by the CFO contractor for accurate data entry as the link between the contractor's records and the EIDS. EIDS is provided at no cost to the contractor.

**Deliverable 5.3:** Contractor will obtain all notices of actions and consents; family support coordination documentation including meeting notifications, IFSP reviews/evaluations, new IFSPs, correspondence, family income information, and releases in the hard copy file record in the format required shall be maintained.

**Deliverable 5.4:** Contractor will utilize required EarlySteps forms for record keeping according to the instructions provided in the EarlySteps Practice Manual.

**Deliverable 5.5:** Contractor will ensure data entry in EIDS is accurate such that OCDD is able to:

- Identify gaps in the local service delivery system and the need for resource development, personnel recruitment, etc.;

## ATTACHMENT II

### Statement of Work

- Conduct financial forecasting, fund acquisition, and other reporting functions accurately
- Verify required system components (e.g. IFSP, releases, consents, etc.) are completed according to state and federal regulations.
- Submit eligibility verification and prior authorization data to Molina the fiscal intermediary for the Bureau of Health Services Financing.

**Deliverable 5.6:** Contractor will ensure all child and family information, medical records, and data elements collected, maintained or used in the administration of the contract from unauthorized disclosure as set forth under 34 CFR 303.406 shall be protected according to:

- Safeguards that restrict the use or disclosure of information concerning children and families to purposes directly connected with the administration of the contract.
- Records, reports, documentation, data, and material developed or acquired by the contractor, as a direct requirement specified in the contract shall become the property of the State of Louisiana.
- Information gained by the contractor as a result of the activities conducted under the contract shall be confidential, and no reports, documentation, or material prepared as required by or obtained through the contract shall be released to the public without the prior written consent of OCDD and must include the identification of EarlySteps, OCDD and the State of Louisiana.
- Signatures obtained from all employees or subcontractors of the contractor agreeing to the confidentiality provisions of the contract as required by the OCDD.

**Deliverable 5.7:** Contractor will maintain financial, time, and accounting records and evidence pertaining to the contract in accordance with generally accepted accounting principles and other procedures as specified by DHH/OCDD. These records must be made available to DHH/OCDD, and/or its designees, and the legislative auditor during the contract period, any renewal period, and for the period of time specified below for retention of records.

**Deliverable 5.8:** Contractor will securely store books, records, evidence, and other documents relevant to the contract for a period of four (4) years after final payment and the completion of an audit (if an audit is performed). Any records or documents involved in, related to, or required for any litigation, claim, negotiation, audit, or other such action must be retained until the resolution of the action, or until four years have passed after final payment and completion of any required audit, whichever is later. The contractor shall allow authorized representatives of the State of Louisiana agencies and the federal government to inspect these records upon request.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of records is complete, accurate and meets Federal and State Requirements.
- Evidence that hard copy documentation shall be consistent with EIDS data.
- Documentation of records are maintained according to the required timelines

#### **Monitoring Plan**

The contract monitor will:

- Review charts
- Conduct agency Audits
- Review Data Report

#### **Deliverable 6: Hire and Train staff to meet functions of SPOE office (see Attachment VI for Job Descriptions)**

The Contractor will conduct activities which meet personnel requirements and needs of the region as specified below. Key personnel commitments made in the contract shall only be changed with prior written approval of DHH/OCDD. The contractor shall be responsible for the training and education of new personnel at the contractor's expense. DHH/OCDD shall not be liable for any cost related to the training or education of new or substitute staff.

**Deliverable 6.1:** Contractor will hire personnel who will demonstrate effective service provision as required in the contract and meet qualifications specified.

**Deliverable 6.2:** Contractor will hire appropriate number of staff necessary to provide all required services.

**Deliverable 6.3:** Contractor will hire staff members that meet specified qualifications.

**Deliverable 6.4:** Contractor will provide additional necessary support (such as data support) to assist the Intake Service Coordinators in providing the services required herein.

## ATTACHMENT II

### Statement of Work

**Deliverable 6.5:** Contractor and/or sub-contractor will, if requested by DHH, provide all necessary authorizations for the background checks for all personnel. The contractor must arrange for background checks for required staff according to requirements of the Department of Children and Family Services. This requirement states that an employee or subcontractor of the contractor must pass a background check prior to employment and or initiation of a contract and every three years thereafter or according to the requirements of RS 49:950 et seq. (The State reserves the right to conduct a background check on any contractor or sub-contractor personnel).

#### **Performance Measures**

Contractor shall provide or maintain:

- Supporting documentation that all staff meets specified qualifications.
- Documentation of adequate staffing of program results in timeline requirements being met according to APR Indicators 1, 7, and 8.

#### **Monitoring Plan**

The contract monitor will:

- Review Charts -Personnel files
- Review EIDS reports
- Review Staff Training Records
- Review documentation of Verification of Background Checks

**Deliverable 7: Ensure that all licensing and training requirements are met according to the *Case Management Services Provider Manual*, reissued 7/01/2002.**

The contractor will arrange and/or provide case management training and EarlySteps training as specified below:

**Deliverable 7.1:** Contract will ensure that each Intake Service Coordinator and Intake Service Coordinator/Early Intervention Consultant-Supervisor complete required licensing and EarlySteps training as specified below and participate in any required meetings. In addition, the intake service coordinators must adhere to the requirements of the EarlySteps Practice Manual.

EarlySteps Training Requirements shall include the following:

- Module 1: Orientation—EarlySteps: A New Look
- Module 2: Evaluation and Assessment—Making Informed Decisions on-line module and with a face-to-face component (when available) through EarlySteps
- Module 3: Spectrum of Child Development
- Module 4: Family-Centered Practices
- Module 5: Introduction to Teaming Practices
- Module 6: Introduction to the Individualized Family Services Plan on-line and Individualized Family Service Plan Process-a face-to-face component, when available.
- Module 7: Concerns, Priorities and Resource Process, a face-to-face training activity, when available
- Module 8: Talking to Families about their Rights, an online module
- Face-to-Face Orientation to EarlySteps by Regional Coordinator
- Technical Assistance provided at a minimum of 1 hour per month with the Regional Coordinator in region served; meetings may increase based on the SPOE needs. All SPOE staff will be required to attend scheduled meetings.
- SPOE software training
- Additional training as required by DHH/OCDD

**Additional Case Management Licensing Training Requirements:**

Orientation- at least sixteen (16) hours must be provided to all staff, volunteers, and students within five (5) working days of employment. A minimum of eight (8) hours of the orientation training must cover orientation to early intervention including, but not limited to, specific service needs and resources. This orientation must include, at a minimum:

- Case Management Provider policies and procedures.
- Medicaid and other applicable DHH policies and procedures.
- Confidentiality.
- Documentation in case records.
- Parents' Rights under IDEA Part C.
- Recipient rights protection and reporting of violations.
- Recipient abuse and neglect reporting policies and procedures.
- Recognizing and defining abuse and neglect.
- Emergency and safety procedures.

## ATTACHMENT II

### Statement of Work

- Data management and record keeping.
- Infection control and universal precautions.
- Working with the early intervention population.
- Professional ethics.
- Outcome measures.

Deliverable 7.2: Contractor will ensure that in addition to the required sixteen (16) hours of orientation, all new employees without documented training must receive an additional minimum sixteen (16) hours of training during the first ninety (90) calendar days of employment. This training must be related to the population of infants and toddlers with disabilities to be served, must include specific knowledge, skills, and techniques, and must include the training modules listed above.

Deliverable 7.3: Contractor will ensure that an individual with demonstrated knowledge of both the training topics and the target population provide this training. This training must include the following at a minimum:

- Assessment techniques.
- Support and service planning.
- Support and service planning for children with complex medical needs
- Resource identification.
- Interviewing and interpersonal skills.
- Data management and record keeping.
- Communication skills
- Cultural awareness.
- Personal outcome measures.

Deliverable 7.4: Contract will ensure that new employees do not assume service coordinator responsibility until the orientation is satisfactorily completed. This additional training may be counted as part of the required 40 annual hours. The following is a list of suggested additional topics for training:

- Nature of illness or disability, including symptoms and behavior.
- Pharmacology.
- Potential array of services for the population.
- Building natural support system.
- Family dynamics.
- Developmental life stages.
- First aid/CPR.
- Signs and symptoms of mental illness, alcohol, and drug addiction, mental retardation/developmental disabilities and head injuries.
- Monitoring techniques.
- Advocacy.
- Behavior management techniques.
- Values clarification/goals and objectives.
- Available community resources.
- Cultural diversity.
- Health management.
- Team building/interagency collaboration.
- Transition/closure.
- Facilitating team meetings.
- Stress and time management.
- Legal issues.
- Outcome measures.

Deliverable 7.5: Contractor will ensure that individuals who supervise Intake Service Coordinators complete a minimum of 40 hours of training a year. Suggested topics for supervisory training include:

- Professional ethics
- Process for interviewing, screening, and hiring staff
- Orientation/in service training of staff
- Evaluating staff
  - Approaches to supervision
  - Managing caseload size
  - Conflict resolution
  - Documentation
  - Time management

## ATTACHMENT II

### Statement of Work

The contractor shall print EarlySteps Practice Manual and any updates and shall make them available to all of the contractor's staff. Verification of training on the program practice manual shall be documented by the contractor. The manual is available on the website at <http://www.earlysteps.dhh.louisiana.gov/>.

#### **Performance Measures**

Contractor shall provide or maintain:

- Documentation of personnel records that include - Time, date, trainer, trainer's qualifications and agenda signed by supervisor, documentation of training provided by outside entities or organizations to include certificate of attendance signed by trainer or training organizations.

#### **Monitoring Plan**

The contract monitor will:

- Review Personnel File
- Review attendance records
- Review Training and Supervision Logs

#### **Deliverable 8: Ensure quality of data reporting and quality assurance**

The contractor will develop and implement quality management strategies which assure quality of contractor and EarlySteps system implementation and accuracy of data entry and reporting as follows:

Deliverable 8.1: Contractor will develop written procedures for performance of the services, as required herein, within 90 calendar days of the initiation of the contract which reflect provisions of the EarlySteps system in a prompt, professional, family-centered, equitable, consistent, and culturally competent manner that ensures:

- Each referred child shall be guaranteed equal and timely access to the services available through the EarlySteps system or referred to other appropriate services, regardless of the nature of the child's disability or the degree of disability, family educational/socioeconomic status, primary language or geographic location.
- Families shall receive accurate and timely information, knowledge of choices or options available, and shall be given an explanation of their rights, opportunities and responsibilities under both Part C federal law and state law.
- Collaborative relationships with referring agencies, providers and other community agencies are developed which support the EarlySteps team-based service delivery model.
- Access for children and their families to systems and services that will assist in meeting their needs including those related to the child's developmental concerns as well as enhancing the family's capacity in meeting the needs of their child.
- Confidentiality of data, including medical records, payment information, child and family information, and early intervention service records shall be maintained
- Data shall be entered accurately and in a timely manner
- A written plan for conducting a self-evaluation and report findings to OCDD shall be developed and implemented by the Contractor throughout the Contractor's organization.
- A written approved Quality Enhancement Plan that engages in learning or collecting performance information to determine how well they are meeting the Contractor's goals; responding or acting in ways to improve performance, implementing or activating a plan that has well defined goals and objectives, and evaluating and monitoring the implementation of the quality project

Deliverable 8.2: Contractor will ensure that data management results in accurate data reporting which meets state and federal requirements such that:

- Procedures which ensure confidentiality of all contents including medical records, payment information, child and family information, and early intervention service records shall be implemented.
- Reporting requirement established by OCDD including monthly reports, corrective action plans, self-assessments and Individual Family Service Plans (IFSPs) shall be met.
- Procedures shall ensure timely, accurate input of data into EIDS.

#### **Performance Measures**

Contractor shall provide or maintain:

Documentation of policy manual development within 90 days of contract initiation which shall include, but shall not be limited to, the following:

- Anti-discrimination
- Evaluations
- Promotion

## ATTACHMENT II

### Statement of Work

- Disciplinary actions
- Termination
- Employee grievances
- Continuous quality management
- Training requirements

A written Quality Enhancement Plan must be developed within 90 days of contract initiation and approved by OCDD which shall include:

- Contractor's vision and mission
- Establishing a Quality Council
- Establishing an Organizational Infrastructure to Support Quality QM Policy and procedures
- Evaluating Fidelity of Implementation of the Contractor's plan and updates
- Quality management committee which includes stakeholders
- Data collection and analysis
- Procedures for conducting self-evaluation and other quality enhancements and procedures to report findings to OCDD according to established guidelines
- Training
- Procedures for determination of consumer satisfaction and means to address concerns identified

#### **Monitoring Plan**

The contract monitor will:

- Review policy manuals and quality assurance guidelines
- Review data reporting to ensure it meets schedules and results within expected parameters



DHH Contract Budget Detail

Attachment 111  
FY 14/15

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Intake Service Coordinator Supervisor	25	346	8,650	100	0	8,650
EI Consultant	26.44	346	9,148	100	0	9,148
Data Management/Admin Clerk	15	346	5,190	100	0	5,190
Data Management/Admin Clerk	15	346	5,190	100	0	5,190
Intake Coordinator	20	346	6,920	100	0	6,920
Intake Coordinator	20	346	6,920	100	0	6,920
Intake Coordinator	20	346	6,920	100	0	6,920
Intake Coordinator	20	346	6,920	100	0	6,920
Intake Coordinator	20	346	6,920	100	0	6,920
Total			62,778		0	62,778

Justification

Based upon present excellent competency of staff and present intake numbers.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Retirement	1,888	100	0	1,888
FICA/Medicare	5,032	100	0	5,032
Unemployment	630	100	0	630
Insurance Benefit	3,625	100	0	3,625
			0	0
			0	0
			0	0
			0	0
Total	11,175		0	11,175

Justification

To match past history with employee treatment and represents 17.801% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Intake Coordinator Supervisor	850	100	0	850
EI Consultant	915	100	0	915
Intake Coordinator	914	100	0	914
Intake Coordinator	914	100	0	914
Intake Coordinator	914	100	0	914
Intake Coordinator	914	100	0	914
Intake Coordinator	914	100	0	914
			0	0
			0	0
Total	6,335		0	6,335

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 9 parishes in Region 7.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column,2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$2020 x 2)	4,040	100	0	4,040
Utilities	0	0	0	0
Telephone (\$600 x 2)	1,200	100	0	1,200
Insurance Liability (\$500 x 2)	1,000	100	0	1,000
Postage (\$600 x 2)	1,200	100	0	1,200
			0	0
			0	0
			0	0
<b>Total</b>	<b>7,440</b>		<b>0</b>	<b>7,440</b>

Justification

Due to stability of FHF, cost in this category will not increase.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Paper,files,folders,file cabinets, ink (\$900 x 2)	1,800	100	0	1,800
			0	0
			0	0
			0	0
<b>Total</b>	<b>1,800</b>		<b>0</b>	<b>1,800</b>

Justification

Office supplies, including paper, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
		100	0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>0</b>		<b>0</b>	<b>0</b>

Justification

Meet state contract audit requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
	0		0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Administrative Costs (10%)	8,953	100	0	8,953
			0	0
			0	0
			0	0
			0	0
			0	0
Total	8,953		0	8,953

Justification

Due to non-profit objectives and desire to serve community in most efficient means, this category will remain the same for the coming three years at 10% rather than the 12% allowed.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
Total		0		0	0

Justification

### Object Detail

0	(Enter Cat 2 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
<b>Total</b>		0		0	0

### Justification

DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Families Helping Families @ the Crossroads FROM: 5/1/2015 TO: 06/30/2015

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	62,778	0	62,778
RELATED BENEFITS	(41)	11,175	0	11,175
TRAVEL	(12)	6,335	0	6,335
OPERATING SERVICES	(13)	7,440	0	7,440
SUPPLIES	(14)	1,800	0	1,800
PROFESSIONAL SVCS	(15)	0	0	0
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	8,953	0	8,953
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		98,481	0	98,481

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

**DHH Contract Budget Detail**

Attachment **111**

**Fy 15/16**

<b>(11) Salaries &amp; Wages</b>	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Intake Service Coordinator Supervisor	25	2,080	52,000	100	0	52,000
EI Consultant	26.44	2,080	54,995	100	0	54,995
Data Management/Admin Clerk	15	2,080	31,200	100	0	31,200
Data Management/Admin Clerk	15	2,080	31,200	100	0	31,200
Intake Coordinator	20	2,080	41,600	100	0	41,600
Intake Coordinator	20	2,080	41,600	100	0	41,600
Intake Coordinator	20	2,080	41,600	100	0	41,600
Intake Coordinator	20	2,080	41,600	100	0	41,600
Intake Coordinator	20	2,080	41,600	100	0	41,600
<b>Total</b>			<b>377,395</b>		<b>0</b>	<b>377,395</b>

Justification

Based upon present excellent competency of staff and present intake numbers.

<b>(41) Related Benefits</b>	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Retirement	11,328	100	0	11,328
FICA/Medicare	30,192	100	0	30,192
Unemployment	3,780	100	0	3,780
Insurance Benefit	22,631	100	0	22,631
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>67,931</b>		<b>0</b>	<b>67,931</b>

Justification

To match past history with employee treatment and represents related benefit rate.

<b>(12) Travel</b>	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Intake Coordinator Supervisor	5,485	100	0	5,485
EI Consultant	5,485	100	0	5,485
Intake Coordinator	5,486	100	0	5,486
Intake Coordinator	5,486	100	0	5,486
Intake Coordinator	5,486	100	0	5,486
Intake Coordinator	5,486	100	0	5,486
Intake Coordinator	5,486	100	0	5,486
			0	0
			0	0
<b>Total</b>	<b>38,400</b>		<b>0</b>	<b>38,400</b>

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 9 parishes in Region 7.



<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$2020 x 12)	24,240	100	0	24,240
Utilities	0	0	0	0
Telephone (\$600 x 12)	7,200	100	0	7,200
Insurance Liability (\$500 x 12)	6,000	100	0	6,000
Postage (\$500 x 12)	6,000	100	0	6,000
			0	0
			0	0
			0	0
<b>Total</b>	<b>43,440</b>		<b>0</b>	<b>43,440</b>

Justification

Due to stability of FHF, cost in this category will not increase.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Paper,files,folders,file cabinets, ink (\$900 x 12)	10,800	100	0	10,800
			0	0
			0	0
			0	0
<b>Total</b>	<b>10,800</b>		<b>0</b>	<b>10,800</b>

Justification

Office supplies, including paper, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Audit/Accounting (\$300 x 12)	3,600	100	0	3,600
			0	0
			0	0
			0	0
<b>Total</b>	<b>3,600</b>		<b>0</b>	<b>3,600</b>

Justification

Meet state contract audit requirements.

(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
	0		0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Administrative Costs (10%)	54,157	100	0	54,157
			0	0
			0	0
			0	0
			0	0
			0	0
			0	0
Total	54,157		0	54,157

Justification

Due to non-profit objectives and desire to serve community in most efficient means, this category will remain the same for the coming three years at 10% rather than the 12% allowed.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
Total		0		0	0

Justification

### Object Detail

<b>0</b>	<b>(Enter Cat 2 name)</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
		<b>0</b>		<b>0</b>	<b>0</b>
<b>Total</b>		<b>0</b>		<b>0</b>	<b>0</b>

### Justification

DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Families Helping Families @ the Crossroads FROM: 7/1/2015 TO: 06/30/2016

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	377,395	0	377,395
RELATED BENEFITS	(41)	67,931	0	67,931
TRAVEL	(12)	38,400	0	38,400
OPERATING SERVICES	(13)	43,440	0	43,440
SUPPLIES	(14)	10,800	0	10,800
PROFESSIONAL SVCS	(15)	3,600	0	3,600
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	54,157	0	54,157
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		595,723	0	595,723

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds

If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment 111  
FY 16/17

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Intake Service Coordinator Supervisor	25	2,080	52,000	100	0	52,000
EI Consultant	26.44	2,080	54,995	100	0	54,995
Data Management/Admin Clerk	15	2,080	31,200	100	0	31,200
Data Management/Admin Clerk	15	2,080	31,200	100	0	31,200
Intake Coordinator	20	2,080	41,600	100	0	41,600
Intake Coordinator	20	2,080	41,600	100	0	41,600
Intake Coordinator	20	2,080	41,600	100	0	41,600
Intake Coordinator	20	2,080	41,600	100	0	41,600
Intake Coordinator	20	2,080	41,600	100	0	41,600
Total			377,395		0	377,395

Justification

Based upon present excellent competency of staff and present intake numbers.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Retirement	11,328	100	0	11,328
FICA/Medicare	30,192	100	0	30,192
Unemployment	3,780	100	0	3,780
Insurance Benefit	22,631	100	0	22,631
			0	0
			0	0
			0	0
			0	0
Total	67,931		0	67,931

Justification

To match past history with employee treatment and represents related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Intake Coordinator Supervisor	5,485	100	0	5,485
EI Consultant	5,485	100	0	5,485
Intake Coordinator	5,486	100	0	5,486
Intake Coordinator	5,486	100	0	5,486
Intake Coordinator	5,486	100	0	5,486
Intake Coordinator	5,486	100	0	5,486
Intake Coordinator	5,486	100	0	5,486
			0	0
			0	0
Total	38,400		0	38,400

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 9 parishes in Region 7.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$2020 x 12)	24,240	100	0	24,240
Utilities	0	0	0	0
Telephone (\$600 x 12)	7,200	100	0	7,200
Insurance Liability (\$500 x 12)	6,000	100	0	6,000
Postage (\$500 x 12)	6,000	100	0	6,000
			0	0
			0	0
			0	0
<b>Total</b>	<b>43,440</b>		<b>0</b>	<b>43,440</b>

Justification

Due to stability of FHF, cost in this category will not increase.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Paper,files,folders,file cabinets, ink (\$900 x 12)	10,800	100	0	10,800
			0	0
			0	0
			0	0
<b>Total</b>	<b>10,800</b>		<b>0</b>	<b>10,800</b>

Justification

Office supplies, including paper, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Audit/Accounting (\$300 x 12)	3,600	100	0	3,600
			0	0
			0	0
			0	0
<b>Total</b>	<b>3,600</b>		<b>0</b>	<b>3,600</b>

Justification

Meet state contract audit requirements.



(16) Capital Assets	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
	0		0	0
			0	0
Total	0		0	0

Justification

(17) Indirect/Admin Cost	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Administrative Costs (10%)	54,157	100	0	54,157
			0	0
			0	0
			0	0
			0	0
			0	0
Total	54,157		0	54,157

Justification

Due to non-profit objectives and desire to serve community in most efficient means, this category will remain the same for the coming three years at 10% rather than the 12% allowed.

Object Detail

0	(Enter Cat 1 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
Total		0		0	0

Justification

### Object Detail

0	(Enter Cat 2 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
Total		0		0	0

### Justification

DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Families Helping Families @ the Crossroads FROM: 7/1/2016 TO: 06/30/2017

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	377,395	0	377,395
RELATED BENEFITS	(41)	67,931	0	67,931
TRAVEL	(12)	38,400	0	38,400
OPERATING SERVICES	(13)	43,440	0	43,440
SUPPLIES	(14)	10,800	0	10,800
PROFESSIONAL SVCS	(15)	3,600	0	3,600
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	54,157	0	54,157
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		595,723	0	595,723

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds  
If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

DHH Contract Budget Detail

Attachment |||

FY 17/18

(11) Salaries & Wages	Hourly Rate	Est. Hours of Work	Total Salary to be Paid	% Requested From DHH	Non DHH Funds	Amount Requested From DHH
Intake Service Coordinator Supervisor	25	1,734	43,350	100	0	43,350
EI Consultant	26.44	1,734	45,847	100	0	45,847
Data Management/Admin Clerk	15	1,734	26,010	100	0	26,010
Data Management/Admin Clerk	15	1,734	26,010	100	0	26,010
Intake Coordinator	20	1,734	34,680	100	0	34,680
Intake Coordinator	20	1,734	34,680	100	0	34,680
Intake Coordinator	20	1,734	34,680	100	0	34,680
Intake Coordinator	20	1,734	34,680	100	0	34,680
Intake Coordinator	20	1,734	34,680	100	0	34,680
Total			314,617		0	314,617

Justification

Based upon present excellent competency of staff and present intake numbers.

(41) Related Benefits	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Retirement	9,440	100	0	9,440
FICA/Medicare	25,160	100	0	25,160
Unemployment	3,150	100	0	3,150
Insurance Benefit	18,881	100	0	18,881
			0	0
			0	0
			0	0
			0	0
Total	56,631		0	56,631

Justification

To match past history with employee treatment and represents 18% related benefit rate.

(12) Travel	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
Intake Coordinator Supervisor	4,572	100	0	4,572
EI Consultant	4,572	100	0	4,572
Intake Coordinator	4,572	100	0	4,572
Intake Coordinator	4,571	100	0	4,571
Intake Coordinator	4,571	100	0	4,571
Intake Coordinator	4,571	100	0	4,571
Intake Coordinator	4,571	100	0	4,571
			0	0
			0	0
Total	32,000		0	32,000

Justification

Travel to be reimbursed in accordance with PPM49. Families do not travel to the office, therefore seven staff will travel to 9 parishes in Region 7.

<b>(13) Operating Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Rent (\$2020 x 10)	20,200	100	0	20,200
Utilities	0	0	0	0
Telephone (\$600 x 10)	6,000	100	0	6,000
Insurance Liability (\$500 x 10)	5,000	100	0	5,000
Postage (\$500 x 10)	5,000	100	0	5,000
			0	0
			0	0
			0	0
<b>Total</b>	<b>36,200</b>		<b>0</b>	<b>36,200</b>

Justification

Due to stability of FHF, cost in this category will not increase.

<b>(14) Supplies</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Paper,files,folders,file cabinets, ink (\$900 x 10)	9,000	100	0	9,000
			0	0
			0	0
			0	0
<b>Total</b>	<b>9,000</b>		<b>0</b>	<b>9,000</b>

Justification

Office supplies, including paper, folders, etc. essential for contract deliverables.

<b>(15) Professional Services</b>	<b>Column 1 Total Amt Requested</b>	<b>Per Cent Requested From DHH</b>	<b>Column 2 Non DHH Funds</b>	<b>Column 3 Requested From DHH</b>
Audit/Accounting (\$360 x 10)	3,600	100	0	3,600
			0	0
			0	0
			0	0
			0	0
<b>Total</b>	<b>3,600</b>		<b>0</b>	<b>3,600</b>

Justification

Meet state contract audit requirements.





### Object Detail

0	(Enter Cat 2 name)	Column 1 Total Amt Requested	Per Cent Requested From DHH	Column 2 Non DHH Funds	Column 3 Requested From DHH
		0		0	0
Total		0		0	0

### Justification

DHH CONTRACT BUDGET  
SUMMARY BUDGET FOR THIS PERIOD

CONTRACTOR: Families Helping Families @ the Crossroads FROM: 7/1/2017 TO: 04/30/2018

			SOURCE OF FUNDS	
CATEGORIES	OBJECT DETAIL	TOTAL AMOUNT REQUIRED	APPLICANT AND OTHER	REQUESTED FROM DHH
SALARIES AND WAGES	(11)	314,617	0	314,617
RELATED BENEFITS	(41)	56,631	0	56,631
TRAVEL	(12)	32,000	0	32,000
OPERATING SERVICES	(13)	36,200	0	36,200
SUPPLIES	(14)	9,000	0	9,000
PROFESSIONAL SVCS	(15)	3,600	0	3,600
CAPITAL ASSETS	(16)	0	0	0
ADMINISTRATIVE	(17)	45,205	0	45,205
(Enter Cat 1 name)	0	0	0	0
(Enter Cat 2 name)	0	0	0	0
TOTAL COST		497,253	0	497,253

Note: No data entry allowed in this item

X

☐ Click Here if Combined Federal / State Funds  
If funding is federal and state combined, please list breakdown below.

Fund Distribution Section

		Federal Dollars	State Dollars	Other	Total
SALARIES AND WAGES	(11)				
RELATED BENEFITS	(41)				
TRAVEL	(12)				
OPERATING SERVICES	(13)				
SUPPLIES	(14)				
PROFESSIONAL SVCS	(15)				
CAPITAL ASSETS	(16)				
ADMINISTRATIVE	(17)				
TOTAL COST					

Part C - System Point of Entry  
Sample Monthly Invoice

Agency Name:  
CFMS #:  
Contact Person:  
Address:

Phone:  
Email:

Month: \_\_\_\_\_

Vendor#: \_\_\_\_\_

Invoice #: \_\_\_\_\_

SPOE Region: \_\_\_\_\_ PROGRAM: EARLYSTEPS

Date: \_\_\_\_\_

Categories	Approved Amount	Previously Billed	Current Expenses	Balance Remaining
Personnel		\$ -	\$ -	\$
Related Benefits		-	-	
Travel		-	-	
Operating Supplies		-	-	
Supplies		-	-	
Professional Services				
Capital Assets		-	-	
Administrative		-	-	
Total		\$ -	\$ -	\$

CONTRACTOR'S CERTIFICATE

"This is to certify that the information contained on this form is true, accurate and complete and that expenditures shown above were made for the furtherance of and in conformity with the contractual agreement with DHH/OCDD."

\_\_\_\_\_  
Signature of Contractor

\_\_\_\_\_  
Date

\_\_\_\_\_  
OCDD Approval Signature

\_\_\_\_\_  
Date

225-342-0095  
Contact Phone #



## **Attachment VI**

1. **Order of Precedence:** The contract shall, to the extent possible, be construed to give effect to all provision contained therein, however, where provisions conflict, the intent of the parties shall be determined by giving a first priority to provisions of the contract excluding the RFP and the proposal; second priority to the provision of the RFP; and third priority to the provisions of the proposal.
2. **Entire Agreement:** This contract, together with the RFP and addenda issued thereto by the Department, the proposal submitted by the contractor in response to the Department's RFP, and any exhibits specifically incorporated herein reference constitute the entire agreement between the parties with respect to the subject matter.

## BOARD RESOLUTION FOR FAMILIES HELPING FAMILIES

STATE OF LOUISIANA

PARISH OF RAPIDES

On the 19 day of MAY, 2014, at a meeting of the Board of Directors of Families Helping Families, a corporation in the city of Pineville, Rapides Parish, LOUISIANA, with a quorum of the directors present, the following business was conducted:

It was duly moved and seconded that the following resolution be adopted: BE IT RESOLVED that the Board of Directors of the above corporation do hereby authorize James Sprinkle, Executive Director, to negotiate on terms and conditions that he may deem advisable, any and all contracts, and to execute said documents on behalf of the corporation and further, we do hereby give him the power and authority to do all things necessary to implement, maintain, amend, or renew said documents.

The above resolution was passed by a majority of those present and voting in accordance with the by-laws and articles of incorporation.

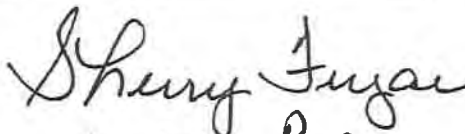
I certify that the above and foregoing constitutes a true and correct copy of a part of the minutes for a meeting of the Board of Directors of

## FAMILIES HELPING FAMILIES AT THE CROSSROADS OF LOUISIANA

HELD ON THE 19 DAY OF MAY 2014

  
Chairperson, Board of Directors

Subscribed and sworn before me, SHERRY FRYAR, a Notary  
Public for the Parish of RAPIDES on the 19<sup>th</sup> day of MAY  
2014.

  
Notary Public, Parish of RAPIDES  
State of Louisiana

**SHERRY FRYAR**  
Notary Public ID Number 17952  
Grant Parish, Louisiana  
Commission is for life





# State of Louisiana

## DEPARTMENT OF HEALTH AND HOSPITALS Office for Citizens with Developmental Disabilities

March 25, 2015

Ms. Pamela Bartfay-Rice, Esq.  
Director  
Divisions of Administration  
Office of Contractual Review  
P.O. Box 94095  
Baton Rouge, LA 70804-9095

Dear Ms. Rice:

Please consider this justification for the Department of Health and Hospitals, Office for Citizens with Developmental Disabilities to enter in to a multi-year contract with the ten System Point of Entry Contractors selected through the RFP process:

- Region 1 – Easter Seals Louisiana (CFMS – 735114)
- Region 2 – Southeast Area Health Education Center (CFMS – 735115)
- Region 3 – Southeast Area Health Education Center (CFMS – 735268)
- Region 4 – First Steps Referral and Consulting, LLC (CFMS – 735229)
- Region 5 – First Steps Referral and Consulting, LLC (CFMS – 735210)
- Region 6 – Easter Seals Louisiana (CFMS – 735219)
- Region 7 – Families Helping Families at the Crossroads (CFMS – 735293)
- Region 8 – Easter Seals Louisiana (CFMS – 735294)
- Region 9 – Southeast Area Health Education Center (CFMS – 735292)
- Region 10 – Southeast Area Health Education Center (CFMS – 735213)

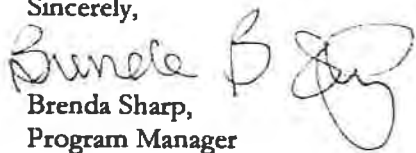
These contractors provide services for the EarlySteps system which are required by the Federal IDEA, Part C program with the US Department of Education. A multi-year contract supports the continuity of the required services: intake, initial eligibility determination, intake service coordination, as well as hosting the regional data systems for the State system for 10,000 annual referrals, and service authorizations for approximately 9300 children each year.

Funds for the first fiscal year of the contract are available and payment and performance for subsequent fiscal years shall be subject to the availability of funds.

The estimated requirements covering the period of the contract are reasonably firm and continuing and such a contract will serve the best interests of the State by encouraging effective competition or otherwise promoting economies in state procurement through the continuity of services provided over multiple years.

If further information is needed, please call (342-0095).

Sincerely,

  
Brenda Sharp,  
Program Manager

## SUMMARY OF INFORMATION

<b>CONTRACTOR NAME</b> Families Helping Families @ the Crossroads	<b>Amount</b> <b>\$ 1,787,180.00</b>
<b>CONTRACT DATES</b> <b>Effective Date</b> 05-01-2015 <b>Termination Date</b> 04-30-2018	<b>BA-22 ATTACHED</b> <input checked="" type="checkbox"/>

Certification Requirements: (Check Applicable Items)

- ☒ 1. Either no employee of this agency is both competent and available to perform the services called for by the proposed contract and/or the services called for are not the type readily susceptible of being performed by persons who are employed by the State on a continuing basis.
- ☒ 2. The services are not available as a product of a prior or existing professional, personal contract.
- ☒ 3. When applicable, the requirements for consultant contracts, as provided for under R.S. 39:1503-1507, have been complied with (proper documentation should be provided).
- ☒ 4. The using agency has developed and fully intends to implement a written plan providing for the assignment of specific using personnel to a monitoring and liaison function. Identify name of individual of staff unit responsible for monitoring this contract:

<b>Name</b> Brenda Sharp, Program Manager	<b>Phone No.</b> (225)342-0095
<b>Location</b> 628 N. 4th Street P.O. Box 3117 Bin 21 Baton Rouge, LA 70821-3117	

**Summary of Monitoring Plan:** (This must include periodic review of specified reports, documents, exception reporting, or other indicia or performance, etc.). Additional pages may be attached if necessary.

Monitoring will be achieved by receipt of all deliverables as listed on Attachment II including the review of monthly reports submitted and reports obtained through the central data system which will be monitored by the EarlySteps Program Manager.

The ultimate use of the final product of the services: (Specify)

Identify EarlySteps eligible infants and toddlers served under the Part C system thus meeting the federal benchmark of a least 2% served statewide.

- ☒ 5. Respond to questions A or B on all contracts except those funded by "Other Charges" (3600 series) of Budget:
- A. What critical services will go unprovided and to whom?
- Early intervention services would not be available to children in need.
- B. How many hours will the contractor have to work? N/A
- ☒ 6. Completed monitoring report will be submitted to the Office of Contractual Review within **60** days after termination of contract. **(For Personal, Professional, Consulting contracts exceeding \$20,000)**
- ☒ 7. The services have not been artificially divided to as to constitute a small purchase (not exceeding \$20,000).
- ☒ 8. A cost-benefit analysis has been conducted which indicates that obtaining such services from the private sector is more cost-effective than providing such services the agency itself or by any agreement with another state agency and includes both a short-term and long-term analysis and is available for review.
- ☒ 9. The cost basis for the proposed contract is justified and reasonable.
- ☒ 10. A description of the specific goals and objectives, deliverables, performance measures and a plan for monitoring the services to be provided are contained in the proposed contract.

**PRIOR CONTRACT INFORMATION MUST BE FILLED OUT (IF NO PRIOR CONTRACT PUT N/A)**

<b>PRIOR YEAR SERVICES PROVIDED BY (Contractor Name):</b> Families Helping Families @ the Crossroads			
<b>CFMS#:</b> 735293	<b>DHH#:</b> 060296	<b>EFF:</b> 07-01-2014	<b>TERM:</b> 04-30-2015
<b>AMOUNT:</b> \$ 480,315.00	<b>PREVIOUSLY ISSUED UNDER RFP?</b> IF YES, DATE: <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO      DATE: 06-02-2011		

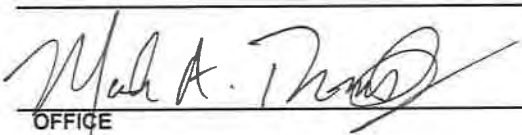
YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Contains a date upon which the contract is to begin and upon which the contract will terminate.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Contains a description of the work to be performed and objectives to be met.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Contains an amount and time payment to be made.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Contains a description of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Contains a date of reports or other deliverables to be received, when applicable.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. When a contract includes travel and/or other reimbursable expenses, it contains language to effect the following:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	A. Travel and other reimbursable expenses shall constitute part of the total maximum payable under the contract; (or)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	B. No more than (a certain sum) of the total maximum amount payable under this contract shall be paid or received as reimbursement for travel and other reimbursable expenses; (and)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	C. Travel expenses shall be reimbursed in accordance with Division of Administration Policy and Procedure memorandum 49 (The State General Travel Regulations).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. Contains the responsibility for payment of taxes.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	8. Contains the circumstances under which the contract can be terminated either with or without cause and contains the remedies for default.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	9. Contains a statement giving the Legislative Auditor the authority to audit records of the individual(s) or firm(s).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	10. Contains an assignability clause as provided for under LAC-4:4.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	11. Budget Form BA-22, fully completed and attached to back of each contract.

DETERMINATION OF RESPONSIBILITY

YES	NO	
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Had adequate financial resources for performance, or has the ability to obtain such resources as required during performance.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Has the necessary experience, organization, technical qualifications, skills and facilities or has the ability to obtain them (including probable subcontractor arrangements).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Is able to comply with the proposed or required time of delivery or performance schedule.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Has a satisfactory record of integrity, judgment and performance (contractors which are seriously delinquent in current contract performance, considering the number of contracts and the extent of delinquencies of each, shall in the absences of evidence to the contrary or compelling circumstances presumed to be unable to fulfill this agreement).
<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Is otherwise qualified and eligible to receive an award under applicable laws and regulations.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. If a contract for consulting services is for \$50,000 or more: The head of the using agency has prepared, signed and placed in the contract file a statement of the facts on which a determination of responsibility of offer or potential subcontractors have been filed with the statement.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	7. On subcontracting, it has been established that contractors recent performance history indicates acceptable subcontracting systems; or, major subcontractors have been determined by the heads of the using agency to satisfy this standard

R.F.P. CONSULTING CONTRACTS FOR \$50,000 OR MORE; UNLESS DETERMINED EXEMPT AS PER ACT 673 of 1985, R.S. 39:1494.1 (A).

☐ Contract file attached and this includes:  
☐ Criteria for selection    ☐ Proposals    ☐ Pertinent Documents    ☐ Selection Memorandum

PROGRAM / FACILITY SIGNATURE		ASSISTANT SECRETARY OR DESIGNEE SIGNATURE
<div style="border-bottom: 1px solid black; height: 20px;"></div>		<div style="border-bottom: 1px solid black; height: 20px; text-align: center;">  </div>
OFFICE	PHONE NUMBER	OFFICE
OCDD/EarlySteps	(225)342-5715	Office for Citizens with Developmental Disabilities

STATE OF LOUISIANA  
DIVISION OF ADMINISTRATION  
BA-22 (REV. 09/2005)

Date: 4/2/2015 Dept/Budget Unit: 09/340/2000  
Agency Name: Office for Citizens with Developmental Disabi OCR/CFMS Contract #: 735293  
Agency BA-22 #: 34 Agency Contract #: 060749

Fiscal Year for this BA-22: 2014-2015 BA-22 Start/End Dates: 05/01/15 06/30/15  
(yyyy-yy) (Start Date) (End Date)

Multi-year Contract (Yes/No): y If "Yes", provide contract dates:  
05/01/15 04/30/18  
(Start Date) (End Date)

Families Helping Families at the Crossroads 72121337800  
(Contractor/Vendor Name) (Contractor/Vendor No.)

Contractor will provide System Point of Entry services with the Region 7 Parishes for Early Steps.  
(Provide a statement of "Services Provided")

Contract Amendment (Yes/No): NO Amendment Start/End Dates: \_\_\_\_\_  
(Start Date) (End Date)

Contract Cancellation (Yes/No): NO Date of Cancellation: \_\_\_\_\_

(Provide rationale for amendment or cancellation)

This information is to be provided at the Agency Level				
MEANS OF FINANCING	AMOUNT			
	Current Year	%	Total Contract	%
State General Fund	\$0	0%	\$0	0.0%
Interagency Transfers	\$0	0%	\$0	0.0%
Fees and Self Gen.	\$0	0.0%	\$0	0.0%
Statutory Dedication	\$0	0.0%	\$0	0.0%
Federal	\$98,481	100%	\$1,787,180	100.0%
TOTALS	\$98,481	100%	\$1,787,180	100.0%

\*Specify Source (i.e., grant name, fund name, IAT sending agency and revenue source, fee type and source, etc.)  
Are revenue collections for funds utilized above in line with budgeted amounts? (Yes/No) \_\_\_\_\_  
If not, explain. \_\_\_\_\_

This information is to be provided at the Agency Level	
Name of Object Code/Category:	Miscellaneous Charges
Object Code/Category Number:	3655
Amount Budgeted:	\$15,496,069
Amount Previously Obligated:	\$6,491,642
Amount this BA-22:	\$98,481
Balance:	\$8,905,946

The approval of the aforementioned contract will not cause this agency to be placed in an Object Category deficit.

Agency Contact: Clent Goff Reviewed/Approved By: Geetha Kumar  
Name: Clent Goff Name: Geetha Kumar  
Title: Program Manager 1 Title: Accountant Manager 2  
Phone: (225) 342-0943 Phone: (225) 342-8725

FOR AGENCY USE ONLY						
AGENCY	PROGRAM	ACTIVITY	ORGANIZ.	OBJECT	REPT CAT	AMOUNT
340	2000		8712	3655	8107	\$98,481.00



## **GARVEE – Grant Anticipation Revenue Vehicles**

### **Background**

In recent years, Louisiana’s transportation capital plan has relied on a combination of funds generated by budget surpluses from ten years ago, funds from state capital outlay general obligation bonds, and federal funds. In addition, the Unclaimed Property bonds and the State Highway Improvement Bonds generated some funding. Given that the general fund surplus balances are almost fully depleted and capital outlay bond capacity is constitutionally capped, the state’s ability to make progress on important projects is severely constrained. GARVEEs are a mechanism for making more funds available in the near term so as to move projects forward.

### **What are GARVEEs?**

A debt instrument that has a pledge of future federal-aid funding.

- Debt financing instruments include bonds, notes, certificates, or leases; the proceeds of which are used to fund a project eligible for federal-aid.
- Any of these instruments could be considered a GARVEE when backed by future FHWA–aid funding.
- Costs eligible for federal-aid reimbursement include interest, principal, and any other cost incidental to the sale of an eligible debt issue.

### **Direct GARVEEs:**

- Must be pre-approved by FHWA as Advanced Construction (AC) project
- Fund Specific Federal-aid projects
- Proceeds only used on preapproved projects
- Principal/interest payment approved and paid on schedule by FHWA

### **Direct Structure**

- Used to finance a specific project or projects
- State submits the debt service schedule for approval
- All proceeds need to be spent on the specific project or projects that were approved leaving no spending discretion or flexibility



- On the first day of the Federal FY DOTD would encumber the required debt service from the FHWA Obligation Authority apportioned to La. DOTD for that Federal F.Y. The DOTD submits for reimbursement before each principal/interest payment (seven to ten days prior to due date) and (State or DOTD) receives a reimbursement (three days) before the debt service payment is actually made. Typically, the debt service payments are set up for March and September. In Louisiana the debt service payment should be made from the FHWA to the State's trustee to the bond holder.

### **GARVEE Ratings**

- Direct GARVEEs with only standalone backing of the FHWA payment have received ratings in the range of a high A to low AA category.
- The rating agencies (Moody's and Fitch) will include GARVEEs under the total state debt category (S&P rating agency does not). A GARVEE does not meet the Net State Tax Supported Debt (NSTSD) criteria under Louisiana Law. Historically across the nation there has been no indication that GARVEE bonds impacted a state's general obligation rating.
- In an effort to avoid having a lower rating on the bonds, the final maturity of the bonds should not exceed 12-15 years. A twelve year GARVEE would return the available bond capacity back into the program by approximately 19 ½ % after three years and by 40% after six years allowing additional projects to be funded from future GARVEEs.

### **Why GARVEE?**

With the exception of I-49, the Interstate Highway System is 50 to 60 years old and is wearing out. Interstate highways (938 miles) carry 38% of all traffic and 48% of all truck traffic in Louisiana. Congress has directed that preservation of these highways be given top priority for federal highway funds.

Since FY 10-11, DOTD has undertaken extensive Interstate preservation work predominately in rural areas of Louisiana. The last large section of rural Interstate in need of major repairs is





currently under construction on I-10 in Lafayette and St. Martin Parishes. It is now time to begin repairing Interstate highways in urban areas.

Because of heavy traffic volumes and the magnitude of repairs necessary, Interstate preservation projects in urban areas do not lend themselves to construction phases that can be funded on a pay-as-you-go basis through annual appropriations. Attempting to do so would result in peaks and valleys in the Highway Program where in some years, a disproportionate share of funding would be for a few urban Interstate repair projects with corresponding reductions in other types of projects. Such an approach would not be beneficial to the health of the highway construction industry as a whole which relies on a steady stream of work across a variety of project categories. The use of GARVEE bonds allows the cost of urban Interstate preservation projects to be spread over multiple years thereby dampening the financial impacts to the Highway Priority Program.

### **Why these Projects?**

Three projects, and perhaps a fourth, have been selected to be funded with the initial issuance of GARVEE bonds. These projects are statewide priorities and have significant contributions from metropolitan planning organizations and local governments.

- A substantial portion of the I-10 reconstruction and widening from the Mississippi River Bridge to the I-10/I-12 split in Baton Rouge; widening is required to maintain traffic during the reconstruction process. While I-10 in Baton Rouge was selected as the first urban interstate reconstruction project due to its condition and congestion, we face similar issues in the Lake Charles, Monroe, New Orleans, and Shreveport Metropolitan Areas.
- Improvements to the interchange on I-10 in Kenner at Loyola Drive to serve the new \$900 million Armstrong airport terminal currently under construction. New Orleans International Airport is by far the largest and most economically important airport in Louisiana for both business travel and tourism.
- A new access from I-20 directly into Barksdale AFB in Bossier City. This access is critical to the Base as the current entrances are congested and there are security concerns regarding one of the existing entrances. Barksdale AFB is a strategic asset in our nation's defense and critical to Louisiana's economy.



- Up to 10 percent of project cost for new toll bridges (the Belle Chasse bridge and tunnel replacement project would be eligible if the funds are necessary.) The Belle Chasse bridge and tunnel provides the primary access to the Belle Chasse Naval Air Station. Replacing the existing infrastructure with a new bridge would provide a reliable, efficient crossing of the Gulf Intracoastal Waterway and show a commitment to the Department of Defense to serve the Base.

Local financial participation is as follows:

- **I-10 reconstruction and widening in Baton Rouge (approximately \$360 million)**
- Capital Region Planning Commission: \$24 million in federal highway funds
- City of Baton Rouge/ Parish of E.B.R. \$12 million through Road Transfer Program
- **I-10/Loyola Drive Interchange improvements in Kenner (approximately \$90 million)**
- Regional Planning Commission: \$12 million in federal highway funds
- Kenner, New Orleans, Jeff Ph., Airport: \$ 6 million in local cash & Road Transfer
- **I-20 entrance into Barksdale Air Force Base (approximately \$90 million)**
- Northwest LA Council of Governments: \$12 million in federal highway funds
- Bossier City, Bossier Parish: \$ 6 million in local cash & Road Transfer
- **Belle Chasse Bridge & Tunnel Replacement (approximately \$125 million)**
- Regional Planning Commission: \$12 million in federal highway funds
- Local participation: Toll Revenue
- P3 Partner (DBFOM)

### **Why Use GARVEE Now?**

Over the last ten years DOTD has seen a reduction of one time federal money and the dismantling of federal earmarks. In 2006, the department saw over \$1.7 billion in construction lettings. In comparison, FY 16-17 saw less than \$800 million in construction lettings. The maintenance and needs backlogs have continued to grow. DOTD must consider all tools necessary to try and complete some of the state's top infrastructure priorities to help spur economic growth, fulfill federal standards for pavement condition and build a sustainable transportation system.



### **How Does This Impact DOTD's budget?**

The only impact that the utilization of GARVEE bonds will have on the DOTD budget is within the portion reserved for interstate. Louisiana statute provides that the use of federal funds toward GARVEE is limited to 10% of federal money received by DOTD. While, the 10% will be taken from the interstate funds, that money will be reinvested back into the interstate, as all the selected projects for GARVEE are interstate projects.

### **What Impact Does This Have on the State's Ability to Maintain Its Overlay Program?**

The use of the interstate dollars will not impact DOTD's ability to maintain its overlay program. The 10% being used in the three metropolitan areas will be the totality of what is spent on interstate in those areas. Thus, the rest of the state will receive the lion's share of the remaining 90% of interstate funds. In addition, the interstate dollars being spent outside of the GARVEE projects will see an increase annually over the next five years.