



GEORGIA DEPARTMENT OF
COMMUNITY HEALTH

**MEDICARE RURAL HOSPITAL FLEXIBILITY (FLEX)
CRITICAL ACCESS HOSPITAL (CAH) REGIONAL OPERATIONAL
PERFORMANCE LEADERSHIP EDUCATION AND TRAINING GRANT**

DEPARTMENT OF COMMUNITY HEALTH GRANT FUNDING IS SUBJECT TO AVAILABILITY
AND IS AWARDED AT THE DISCRETION OF THE DEPARTMENT COMMISSIONER

**RELEASE DATE: WEDNESDAY, OCTOBER 27, 2010
CLOSING DATE: TUESDAY, NOVEMBER 30, 2010 2:00 PM EST**

**POINT OF CONTACT: KRISTAL Y. THOMPSON-BLACK, GRANTS ADMINISTRATOR
GEORGIA DEPARTMENT OF COMMUNITY HEALTH
2 PEACHTREE STREET, NW, 35TH FLOOR
ATLANTA, GEORGIA 30303-3159
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GEORGIA DEPARTMENT OF COMMUNITY HEALTH, STATE OFFICE OF RURAL HEALTH
Medicare Rural Hospital Flexibility (FLEX)
Health System Development and Community Engagement Grant

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	<p>APPENDIX A. - ETHICS STATEMENT: Includes Signature Page Carefully read, sign, and adhere to Appendix A, the DCH Ethics Statements prior to responding to any Department of Community Health Request for Grant Applications (RFGA). Failure to do so could result in the disqualification of your application at any time during the application process.</p>
	<p>APPENDIX B. - ETHICS IN PROCUREMENT POLICY: Includes (2) Signature Pages Carefully read, sign, and adhere to Appendix B, the DCH Ethics in Procurement Policy prior to responding to any Department of Community Health Request for Grant Applications (RFGA). Failure to do so could result in the disqualification of your application at any time during the application process.</p>
	<p>APPENDIX C. - BUSINESS ASSOCIATE AGREEMENT: Includes Signature Page Carefully read, sign, and adhere to Appendix C, the DCH Business Associate Agreement prior to responding to any Department of Community Health Request for Grant Applications (RFGA). Failure to do so could result in the disqualification of your application at any time during the application process.</p>

Background	<p>The Georgia Department of Community Health (DCH) was created in 1999 by Senate Bill 241 to serve as the lead agency for health care planning and purchasing issues in Georgia. DCH is the single state agency for Medicaid and insures over two million people in the State of Georgia, maximizing the State’s health care purchasing power, coordinating health planning for State agencies and proposing cost-effective solutions for reducing the number of uninsured.</p> <p>Within DCH, the State Office of Rural Health (SORH) serves Georgians by improving access to health care in rural and underserved areas to improve health status and reduce health disparities.</p>
Purpose	<p>The purpose for the Flex Critical Access Hospital Regional Operational and Performance Leadership Education and Training Program is to provide the leadership of Georgia’s 34 Critical Access Hospitals the information necessary to assist in ensuring the future sustainability of local hospital health care. The Program will provide leadership across the state the knowledge, tools and skills necessary to effectively manage their Critical Access Hospitals.</p>
Program Overview	<p>The Medicare Rural Hospital Flexibility (Flex) Program was authorized by section 4201 of the Balanced Budget Act of 1997 (BBA), Public Law 105-33. The Flex program provides funding for the designation of critical access hospitals (CAHs) in rural communities. Critical Access Hospital designation allows the hospital to be reimbursed on a reasonable cost basis for inpatient and outpatient services (including lab and qualifying ambulance services) provided to Medicare patients.</p> <p>The core areas of the Programs include support for:</p> <ul style="list-style-type: none"> • Quality Improvement • Operational and Financial Improvement • Health System Development and Community Engagement <p>Additional activities within the Flex Program include facilitating the conversion of hospitals to CAH status; supporting network development; and, supporting for workforce issues.</p>
Specific Requirements	<p>Funding will support a series of eight regional education and training workshops across the State that addresses the core concepts of CAH operations. The Program has been developed based on the findings of the Flex CAH Fiscal Analysis, Flex surveys and needs expressed by the CAH leadership across the State. In order to provide education and training in the most expedient and cost-efficient manner, the CAHs will be grouped into eight geographical regions. These regions occur naturally based on proximity to one another which enhances the ability for collaboration. Intense two-day workshops will be conducted in each region. CAH leadership will be queried prior to the workshops to gain additional understanding of experience and knowledge levels of the participants. Using this information as well as data from the CAH Fiscal Analysis, surveys and Flex Program Evaluation each workshop will be tailored to the specific needs of that group. The workshops will be conducted by professionals who are experienced in the financial operations and reimbursement requirements of CAHs and recognized as reputable respected professionals in the field. Concepts taught will be</p>

	<p>reinforced through the use of workshop materials as well as online educational materials. The in-person and online curriculum will include at a minimum the following but will be expanded based on the needs specified by individual groups:</p> <ol style="list-style-type: none"> 1. Understanding the importance of the cost report <ul style="list-style-type: none"> • Statistics • Non-reimbursable Cost Centers • Medicare Utilization • Overhead Allocations • Related Parties 2. Understanding the importance of cost containment <ul style="list-style-type: none"> • Advantages of Reducing Cost • Managing Interim Reimbursement • Reducing and Increasing Services 3. Understanding the importance of charge capture <ul style="list-style-type: none"> • Charge Description Master Accuracy • Ordering, Performing, Billing • Reducing and Increasing Services 4. Understanding the importance of networking <ul style="list-style-type: none"> • Swing Bed Programs • Cost Sharing • Joint Education • Patient Protection and Affordable Care Act Implications for Critical Access Hospitals <p>In addition to the eight regional programs online follow-up will be provided to each program participant as well as continuing education developed and provided throughout the remainder of the grant period via a minimum of six Webinars. The benefit and outcome of this program is to enhance CAHs ability to internally monitor and obtain proper program payments throughout the year avoiding costly financial settlements at year end and increasing the knowledge of CAH leadership to monitor and manage fiscally provides the foundation that aids in ensuring financial stability as well as meeting state and federal compliance laws and regulations.</p>
Eligibility	<p>Applicants must be an accounting firm or entity with a minimum of five years experience in health care cost reporting requirements and preparation, Charge Description Master review and update as well as a range of CAH fiscally related</p>

	consultative experience.
Funding Preference	Funding Preference will be given to proposals which: <ol style="list-style-type: none"> 1. possess demonstrated experience greater than 10 years 2. possess experience with Georgia reimbursement and financial regulations 3. possess experience with Georgia Critical Access Hospitals 4. possess experience with education and training
Matching Funds	“ <i>Matching funds</i> ” are encouraged but not required for these efforts.
Cost Sharing	“ <i>Cost sharing</i> ” is encouraged if it helps to leverage resources, is responsive to the RFGA activities, is advantageous to the programs, and does not compromise the integrity or the ability of the programs to accomplish proposed goal.
Award Ceiling	\$170,966 – Federal Funds provided via the Medicare Rural Hospital Flexibility (FLEX) Grant
Anticipated Awards	One (1) award is anticipated as a result of this funding effort.
Funding Cycle	Upon award through – August 31, 2011
Deliverables	<p>Awardee deliverables include but are not limited to the following:</p> <ul style="list-style-type: none"> • Within 14 days of grant execution grantee must submit a revised work plan and budget for DCH and SORH approval. If there are no revisions to the original work plan or budget DCH and the SORH must be notified in writing. • Submit one invoice to the DCH including copies of supporting documentation in accordance with the grant agreement for payment. <u>The program activities must occur between the official date of grant execution and the close of the grant on August 31, 2011.</u> The invoice must be submitted no more than 30 days following the close of the grant period. Any additional instructions will be provided by the SORH as needed. • Deliver a report no more than 30 days following each in-person and online training session which clearly demonstrates the program activities which will include at a minimum the following: <ul style="list-style-type: none"> • Copies of the curriculum used in conducting each workshop (in-person & online) • Copies of workshop agendas • Copies of handouts or other teaching aids utilized • The number of participants in each workshop • The identity and title of each participant • A participant evaluation of each workshop that includes satisfaction with the curriculum, venue and recommendations for future training • Online curriculum/courses provided • Total hours of in-person and online training • All program materials, handouts, PowerPoints, etc. both in-person and online must include that the program is funded by the Medicare Rural Hospital Flexibility (Flex) Grant Program. • Interim reports which may be required by the State Office of Rural Health.

Deadline for Submission of Questions	Questions must be submitted in writing to Kristal Y. Thompson-Black kblack@dch.ga.gov by 2:00 P.M. Friday, November 12, 2010. Response to questions will be posted within five business days from closing date.
Deadline for Submission	APPLICATIONS MUST BE RECEIVED BY 2:00 P.M. TUESDAY, NOVEMBER 30, 2010

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APPLICATION SUBMISSION

Submission requires remittance of the original document as well as one (1) copy and five (5) CDs of the Grant Application. Applications may be delivered via USPS, Fed Ex, DHL, UPS etc., hand delivered or couriered. **COMPLETED APPLICATIONS MUST BE RECEIVED BY 2:00 P.M. FRIDAY, NOVEMBER 30, 2010.** If the application is incomplete or non-responsive to submission requirements, it will not be entered into the review process. The applicant will be notified the application did not meet submission requirements.

Timely and complete submissions are the responsibility of the applicant(s). The Department of Community Health welcomes completed submissions prior to the November 30, 2010 closing date however all submissions are final. **ALL LATE APPLICATIONS WILL BE CONSIDERED NON-RESPONSIVE TO SUBMISSION REQUIREMENTS.**

Mailing Address for Application Delivery

Kristal Y. Thompson-Black, Grants Administrator
Georgia Department of Community Health
2 Peachtree Street, NW, 35th Floor
Atlanta, Georgia 30303-3159
E-mail: kblack@dch.ga.gov

SUBMISSION FORMAT

The Grant Proposal **MUST** be submitted in the following format or the application will be considered non-responsive and will not be entered into the review process:

1. **Word or PDF** file format
2. **Font Size:** 12 point un-reduced (Arial or Times New Roman)
3. **Page Size:** 8.5 by 11 inches
4. **Page Margin Size:** One inch
5. **Number and Label** all pages; not to exceed the maximum number of pages where applicable.
6. **Headers** should identify each section and **Footers** should include: the name of the organization.

REQUIRED GRANT FORMS:

1. Grant Application
2. Budget Form
3. Biographical Sketch
4. Work Plan
5. Timeline

REQUIRED GRANT APPLICATION CONTENT:

1. **Organizational Narrative:** The Organizational Narrative should include any pertinent background information pertaining to organization goal, mission, structure, capabilities etc. The organizational narrative shall not exceed a maximum of 3 pages (if the narrative exceeds the page limit, only the first pages which are within the page limit will be reviewed).
2. **Project Narrative:** The project narrative should be double spaced and should not exceed a maximum of 12 pages (if the narrative exceeds the page limit, only the first pages which are within the page limit will be reviewed). The narrative should clearly articulate and describe the project

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goals and anticipated outcomes as well as describe the project type and be inclusive of the following:

- a. **Problem Statement/Statement of Need:** The problem statement/statement of need is a clear concise description of the issue or issues being addressed. It should describe any problems the program seeks to solve, the causes of those problems, and identify potential approaches or solutions to the problem. The problem statement/statement of need must also specify a target audience as well as illustrate desired outcomes. The problem statement should answer
 - i. What is the problem and explain why the program is needed.
 - ii. What is the scope and limitations (in time, money, resources, and technology) that can be used to solve the problem?
- b. **Project Objectives** – The objectives should be *SMART* (Specific, Measurable, Achievable, Realistic and Timely) and provide outcomes ranging from Short, intermediate and long term. Objectives must be tangible, measurable and achievable and should be specific to the proposed grant project and budget (refer to the Supplemental Information included for guidelines and suggestions for drafting SMART objectives). The objectives should also relate to the anticipated project outcomes and goals
3. **Budget:** All anticipated expenses and funding sources directly related to this project, including in-kind contributions, should be calculated and completed on the included Budget Form (Appendix E). The budget must describe the financial resources needed over the duration of the project period and include the share requested from this grant as well as funds from other sources, including organizations, institutions and describe any in-kind sources of support. A budget justification should immediately follow the budget form. The budget justification is limited to a maximum of 3 pages (if the budget narrative exceeds the page limit, only the first pages which are within the page limit will be reviewed). The budget plan and budget forms will not be counted toward the narrative page limit.
4. **Project Work Plan:** The work plan should detail the operation plan of all major activities necessary to attain specified objectives. Specifically it illustrates how and when the objectives will be reached through clearly defined strategies or activities (See Appendix H).
5. **Timeline** – The timeline should provide the time constraints in which activities and objectives will be accomplished (See Appendix I).
6. **Evaluation Plan:** The program evaluation should provide a baseline for comparison purposes and a greater understanding of the benefits from program services. The evaluation plan should be inclusive of the problem statement as it provides a baseline for comparison purposes and a greater understanding of the benefits from program services as well as the opportunity for the importance of a program to be conveyed. The program evaluation should provide a clear description of: a) how to assess project activities b) describe project outcomes in measurable terms using benchmarking data, c) measure objectives and other related performance measurement as well as the benefits of the initiative.
7. **Sustainability Plan:** The sustainability plan should demonstrate clear evidence of the ability to continue efforts following the end of the grant funding period. The plan should be based around a strategic plan which serves as the sustainability framework, provides the rationale and vision, analyzes key impact of your efforts (impact assessment) and includes a action plan to achieve sustainability.

8. **Appendices:** All appendices are required. Some appendices include a Signature Page(s) carefully read, sign, and adhere to these forms prior to responding to any Department of Community Health Request for Grant Applications (RFGA). Failure to do so could result in the disqualification of your application at any time during the application process. Included Appendices are as follows:

- A. Ethics Statement (*Signature Page must be submitted*)
- B. Ethics in Procurement Policy (*Signature Pages must be submitted*)
- C. Business Associate Agreement (*Signature Page must be submitted*)

II. OTHER CONTENT

Although not required an applicant may wish to submit the following:

- Letters of support or endorsement for the applicant.

III. SUPPLEMENTAL INFORMATION

Grant funding: DCH grant funding is subject to availability. All awards are subject to the discretion of the Commissioner.

Indirect cost: Indirect costs represent the expenses of doing business that are not readily identified within the budget submission but are necessary for the general operation of the organization and the facilitation of the activities required by the grant. In theory, costs like heat, light, accounting and personnel might be charged directly if little meters could record minutes in a cross-cutting manner. Practical difficulties preclude such an approach. Therefore, cost allocation plans or indirect cost rates are used to distribute those costs to benefiting revenue sources. For the purpose of providing the most efficient and effective use of grant dollars DCH limits the application of indirect costs to 9.27 percent.

Point of Contact: Kristal Y. Thompson-Black, Grants Administrator
Georgia Department of Community Health
2 Peachtree Street, NW 35th Floor
Atlanta, Georgia 30303 – 3159
E-mail: kblack@dch.ga.gov Phone: (404) 463-3862

SUGGESTED GUIDELINES FOR DRAFTING “SMART” OBJECTIVES

“**SMART**” refers to an acronym built around the five leading measures of a strong program. “**SMART**” Specific (concrete, detailed, well defined), Measureable (evaluable in terms of outcomes, data, numbers, quantity, comparison), Achievable (feasible, actionable), Realistic (considering resources) and Timely (a defined time line). This acronym can be very helpful in writing objectives that evaluate the quality of the program. To further enhance performance management the Department of Community Health requires grant objectives be “**SMART**” (Specific, Measurable, Achievable, Realistic and Timely) objectives. This will assist the department in evaluating the proposal and determining whether the objectives are effective and appropriate and a good use of state resources.

Be aware of the differences between *goals* and *objectives*. Goals relate to aspirations, purpose and vision. The objective is a plan to achieve the goal therefore a goal may have many objectives.

PLEASE NOTE: “**SMART**” may not always be the best order to write your objectives. Often M-A/R-S-T is the preferred method.

1. **MEASURABLE:** Measurability is the evidence of objective achievement. This is your outcomes or other measurable data.
2. **ACHIEVABLE:** Objectives, unlike aspirations and visions, must be achievable. An objective is only achievable when it is also measurable and limitations have been assessed. Although an objective may be measurable you must also consider if you have the necessary resources or at least a realistic chance of acquiring the resources.
3. **REALISTIC:** If an objective is achievable it may not be realistic. Conversely if it is not realistic, it is not achievable. Realistic is about who, what, when, where and how. This is where human capital, resources, time, money and opportunity intersect.
4. **SPECIFIC:** Specific objectives are concrete, detailed, focused and well defined. The results of specific objectives are action-orientated and straightforward. The objective should communicate what you would like to see happen and emphasize action and outcome. Specific seek to answer
 - a. What do we seek to achieve? (Conduct, develop, plan, initiate etc.)
 - b. Why are we doing this?
 - c. Who will be involved? Who will be responsible? Do I need partners?
 - d. When will this be completed?
 - e. How will we achieve this?
5. **TIMELY** objectives are the deadline(s) set for achievement of an objective. Deadlines **MUST** be achievable and realistic to merit the undertaking. A timely objective is a measurable objective. A timely objective is a specific objective as it answers when achievement will be met.

APPLICATION REVIEW AND EVALUATION CRITERIA

APPLICATION REVIEW

Programs must be specific to Georgia Division of Public Health (DPH), Health Promotion and Disease Prevention Programs (HPDPP), Nutrition and Physical Activity Initiative. Proposals must address target areas while meeting the goals and objectives outlined in Georgia Nutrition and Physical Activity State Plan. The target area must also be directly linked to one of both of the Georgia Nutrition and Physical Activity MAPPS (Media, Access, Point of Purchase/Promotion, and Social Support & Services) Strategies Applications will be reviewed for thoroughness as well as there adherence to the prescribed submission format. The following components are required for Application Review

- Project Narrative
- “SMART” Objectives
- Work Plan/Timeline
- Evaluation Plan
- Sustainability Plan
- All required Appendices and the Budget Justification

EVALUATION CRITERIA

Upon successful completion of Application Review an evaluation committee will convene to evaluate the merits of each proposal. The proposal will be evaluated based upon the following proposal elements:

Project Narrative: The applicant’s description of the program in terms of: objectives, implementation, specificity, and the feasibility. The applicant’s capability includes the adequacy of the applicant's resources (additional sources of funding, organization's strengths, staff time, etc.) available for conducting activities.

“SMART” Objectives: The objectives must be developed in a manner which is appropriate for the grant project and designed around five leading measures which are referred to as *SMART* (specific, measurable, achievable, realistic and timely) objectives. The objectives should describe in detail: the short term, intermediate and long term outcomes related to the project.

Evaluation Plan: The Evaluation Plan should be designed to measure the extent to which the applicant met the goals and objectives.

Sustainability Plan: The Sustainability Plan must show evidence that the applicant is able to maintain the program structure after DCH funding has been exhausted. This must be achieved in a manner that is replicable, appropriate, and realistic. Programs should develop a plan with partners for ensuring regional program sustainability and for acquiring funding from non-federal sources.

Budget Plan and Justification: The proposed budget will be evaluated on the basis of its reasonableness, concise and clear justification, and consistency with the intended use of grant funds.

Evidence of Return on Investment:

In addition, the following factors may affect the funding decision:

- Availability of funds
- Relevance to program priorities

**GEORGIA DEPARTMENT OF COMMUNITY HEALTH
DCH GRANT APPLICATION FORM**

Please Provide complete contact information for a minimum of three (3) officers within the organization.
Mailing Address MAY NOT be a post office box.

Name of Grant:		
Applicant Organization:		
Legal Name		
Address:		
City:	State:	ZIP Code:
Phone:	Fax:	E-mail:
Federal ID Number:		State Tax ID Number
DIRECTOR OF APPLICANT ORGANIZATION		
Name/Title		
Address:		
City:	State:	ZIP Code:
Phone:	Fax:	E-mail:
FISCAL MANAGMENT OFFICER OF APPLICANT ORGANIZATION		
Name/Title		
Address:		
City:	State:	ZIP Code:
Phone:	Fax:	E-mail:
OPERATING ORGANIZATION (If Different from Applicant Organization)		
Name:		
Address:		
City:	State:	ZIP Code:
Phone:	Fax:	E-Mail:
CONTACT PERSON FOR OPERATING ORGANIZATION (If Different from Director Organization)		
Name:		
Address:		
City:	State:	ZIP Code:
Phone:	E-mail:	Fax:
CONTACT PERSON FOR FURTHER INFORMATION ON APPLICATION (If Different from Contact Person for Operating Organization)		
Name:		
Address:		
City:	State:	ZIP Code:
Phone:	E-mail:	Fax:
Amount Requested:	Type of Organization: <input type="checkbox"/> Hospital <input type="checkbox"/> Physician <input type="checkbox"/> Primary Care Provider <input type="checkbox"/> Clinic <input type="checkbox"/> Non-Profit <input type="checkbox"/> Government Entity <input type="checkbox"/> Faith Community <input type="checkbox"/> Consortia of These	
I CERTIFY THAT THE INFORMATION CONTAINED HEREIN IS TRUE AND ACCURATE TO THE BEST OF MY KNOWLEDGE AND THAT I HAVE SUBMITTED THIS APPLICATION ON THE BEHALF OF THE APPLICANT ORGANIZATION.		
SIGNATURE:	TITLE:	DATE:

GEORGIA DEPARTMENT OF COMMUNITY HEALTH, DIVISION OF PUBLIC HEALTH
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BUDGET PLAN

CATEGORY			GRANT FUNDS REQUESTED	NON-GRANT FUNDED CONTRIBUTIONS		TOTAL REQUESTED
ADMINISTRATIVE SALARIES AND FRINGE				IN-KIND	CASH	
PERSONNEL-SALARIES	FRINGE	% OF TIME				
Position - Salary						
Position - Salary						
Position - Salary						
Position - Salary						
Position - Salary						
TRAVEL EXPENSES (All Travel must be in accordance with the State of Georgia travel policy which may be reviewed at www.sao.state.ga.gov)						
• Lodging						
• Meals						
• Mileage or Air Fare						
• Conferences						
OFFICE OPERATION EXPENSES (This is considered an indirect cost and is limited to 9.27% of the budget)						
• Facilities Rental/Mortgage						
• Telephone						
• Internet						
• Utilities						
• Office Supplies						
• Other (Please explain)						
EQUIPMENT EXPENSES						
• Computers (hardware, software and network equipment)						
• Printers						
• Medical (Itemize in budget justification)						
ADMINISTRATIVE EXPENSES						
• Materials (This includes administrative, educational and clinical materials, itemize in budget justification)						
• Consultant Expenses*						
• Other Expenses**						
SUB – TOTAL(S)						
TOTAL FUNDING REQUEST						\$

NOTE: A budget justification which explains each line item expense must accompany the budget. *All consultant and sub-contractors and expenses related to such must be identified. If a consultant or sub-contract has yet to be determined please explain the selection process and provide quotes. **All expenses identified as other must be fully justified and explained in the budget narrative. Additionally if the grantee has entered into a cost sharing arrangement this to must be reflected in the budget and detailed in the budget justification.

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BIOGRAPHICAL SKETCH

Provide the following information for the **KEY PERSONNEL** and other significant contributors in the alphabetical order.
Follow this format for each person. **DO NOT EXCEED TWO PAGES.**

COMPANY/AGENCY NAME:			
(LAST, FIRST, MIDDLE):			
CURRENT POSITION/TITLE			
ROLE IN PROPOSED PROJECT:			
POSITION CLASSIFICATION:			
EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, and include postdoctoral training.)			
INSTITUTION AND LOCATION	DEGREE <i>(if applicable)</i>	YEAR(s)	FIELD OF STUDY

NOTE: The Biographical Sketch may not exceed two pages.

A. Experience. List in chronological order previous positions, concluding with your present position.

B. Job Summary. Detail the qualifications, knowledge, skills and abilities required for the role in the project.

C. Responsibility and Authority. List the related duties and task associated with the role in the project. Identify any and all lines of authority including superiors and subordinates if they are included as key personnel.

GEORGIA DEPARTMENT OF COMMUNITY HEALTH, DIVISION OF PUBLIC HEALTH
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PROJECT WORK PLAN TEMPLATE

ORGANIZATION:		POINT OF CONTACT:	PHONE:
GRANT PROGRAM:	GRANT NUMBER:	FUNDING PERIOD:	AWARD AMOUNT:

Please be as specific and detailed as possible use additional sheet(s) if necessary. The work plan should follow a logical progression. Objectives should correlate to a deliverable and an action item for achieving deliverable(s). The work plan **MUST** identify a person responsible for achieving and facilitating the deliverable and action item. The anticipated outcome should be clearly articulated and relate to the objective(s), deliverable(s) and action item(s).

Quarterly reporting requires that the work plan be updated. The update **MUST** document, explain and reconcile all changes to the work plan to include: end date(s), deliverable(s), action item(s), person responsible and outcome(s). The updated work plan should document all success and/or failure as well as challenges in achievement of a deliverable. Discrepancies between anticipated outcomes and actual outcomes should be fully explained. Any additional action items taken as a result of any changes, challenges or failures should also be documented and explained.

Start Date: Mm/Yr	End Date: Mm/Yr	Objective(s):	Deliverable(s): Action Item(s): Person Responsible:	Anticipated Outcome(s): Actual Outcome(s): Additional Action Item(s):
			Deliverable(s): Action Item(s): Person Responsible:	
			Deliverable(s): Action Item(s): Person Responsible:	
			Deliverable(s): Action Item(s): Person Responsible:	
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			Deliverable(s): Action Item(s): Person Responsible:	

GEORGIA DEPARTMENT OF COMMUNITY HEALTH, DIVISION OF PUBLIC HEALTH
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PROJECT TIME LINE

ORGANIZATION:			POINT OF CONTACT:				PHONE:		
GRANT PROGRAM:		GRANT NUMBER:		FUNDING PERIOD:				AWARD AMOUNT:	

The work plan should follow a chronological progression and complement the project work plan. All activities/deliverables detailed in the work plan should be included on the timeline and listed chronologically in the manner of completion over the grant cycle. Cells **MUST** be color coded and adjacent to that activity to indicate the start of the activity and the end of the activity. The first four lines are examples. Please delete the examples before entering your data.

ACTIVITY/DELIVERABLE:	JAN 09'	FEB 09'	MAR 09'	APR 09	MAY 09	JUN 09	JUL 09	AUG 09	SEP 09	OCT 09	NOV 09	DEC 09
Identification of EMS Agencies												
Compilation of list of formal partnerships												
Development of Strategic Plan												
Submission of quarterly report												

GEORGIA DEPARTMENT OF COMMUNITY HEALTH, DIVISION OF PUBLIC HEALTH
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ETHICS STATEMENT

NOTE: Carefully read, sign, and adhere to Appendix D, the DCH Ethics Statements prior to responding to any Department of Community Health Request for Grant Applications (RFGA). Failure to do so could result in the disqualification of your application at any time during the application process.

PREAMBLE

The Department of Community Health (DCH) has embraced a mission to improve the health of all Georgians through health benefits, systems development, and education. In accomplishing this mission, DCH employees and any individual, group, contractor or grantee who receives funds from DCH must abide by this Statement of Ethics must work diligently and conscientiously to support the goals of improving health care delivery and health outcomes of the people we serve, empowering health care consumers to make the best decisions about their health and health care coverage, and ensuring the stability and continued availability of health care programs for the future. Ultimately, the mission and goals of the organization hinge on each employee's commitment to strong business and personal ethics. This Statement of Ethics requires that each employee or previously defined party:

- Promote fairness, equality, and impartiality in providing services to clients
- Safeguard and protect the privacy and confidentiality of clients' health information, in keeping with the public trust and mandates of law
- Treat clients and co-workers with respect, compassion, and dignity
- Demonstrate diligence, competence, and integrity in the performance of assigned duties
- Commit to the fulfillment of the organizational mission, goals, and objectives
- Be responsible for employee conduct and report ethics violations to the Ethics Officer
- Engage in carrying out DCH's mission in a professional manner
- Foster an environment that motivates DCH employees and vendors to comply with the Statement of Ethics
- Comply with the Code of Ethics set forth in O.C.G.A. Section 45-10-1 et seq.

Not only should DCH employees comply with this Statement of Ethics, but DCH expects that each vendor, grantee, contractor, and subcontractor will abide by the same requirements and guidelines delineated. Moreover, it is important that employees and members of any advisory committee or commission of DCH acknowledge the Statement of Ethics.

ETHICAL GUIDELINES

1. Code of Conduct

All employees of DCH are expected to maintain and exercise at all times the highest moral and ethical standards in carrying out their responsibilities and functions. Employees must conduct themselves in a manner that prevents all forms of impropriety, including placement of self-interest above public interest, partiality, prejudice, threats, favoritism and undue influence. There will be no reprisal or retaliation against any employee for questioning or reporting possible ethical issues.

2. Equal Employment

The Department is committed to maintaining a diverse workforce and embraces a personnel management program which affords equal opportunities for employment and advancement based on objective criteria. DCH will provide recruitment, hiring, training, promotion, and other conditions of employment without regard to race, color, age, sex, religion, disability, nationality, origin, pregnancy, or other protected bases. The Department expects employees to support its commitment to equal employment. The failure of any employee to comply with the equal employment requirements provided in DCH Policy #21 may result in disciplinary action, up to and including termination.

3. Harassment

DCH will foster a work environment free of harassment and will not tolerate harassment based on sex (with or without sexual conduct), race, color, religion, national origin, age, disability, protected activity (i.e., opposition to prohibited discrimination or participation in a complaint process) or other protected bases from anyone in the workplace: supervisors, co-workers, or vendors. The Department strongly urges employees to report to the Human Resources Section any incident in which he or she is subject to harassment. Additionally, any employee who witnesses another employee being subjected to harassment should report the incident to the Human Resources Section. If DCH determines that an employee has engaged in harassment, the employee shall be subject to disciplinary action, up to and including termination, depending on the severity of the offense.

4. Appropriate Use of DCH Property

Employees should only use DCH property and facilities for DCH business and not for any type of personal gain. The use of DCH property and facilities, other than that prescribed by departmental policy, is not allowed. Furthermore, the use of DCH property and facilities for any purpose which is unlawful under the laws of the United States, or any state thereof, is strictly prohibited.

Employees who divert state property or resources for personal gain will be required to reimburse the Department and will be subject to the appropriate disciplinary action, up to and including, termination.

5. Secure Workplace

DCH is committed to maintaining a safe, healthy work environment for its employees. Accordingly, it is DCH's expectation that employees refrain from being under the influence of alcohol or drugs in the workplace because such conduct poses a threat to the employee, as well as others present in the workplace. Additionally, DCH has a zero tolerance policy regarding violence in the workplace. Specifically, DCH will not condone the threat of or actual assault or attack upon, a client, vendor, or other employee. If an employee engages in violent behavior which results in an assault of another person, he or she will be immediately terminated.

6. Political Activities

Although the DCH recognizes that employees may have an interest in participating in political activities and desires to preserve employees' rights in participating in the political process, employees must be aware of certain allowances and prohibitions associated with particular political activities. DCH encourages employees to familiarize themselves with DCH Policy #416 to gain understanding about those instances when a political activity is disallowed and/or approval of such activity is warranted.

7. Confidentiality

DCH has a dual mandate in terms of confidentiality and privacy. Foremost, as a state agency, DCH must comply with the Georgia Open Records Act and Open Meetings Act. The general rule that is captured by those laws is that all business of the agency is open to the public view upon request. The exceptions to the general rule are found in various federal and state laws. In order to protect the individuals' health information that is vital to the delivery of and payment for health care services, DCH sets high standards of staff conduct related to confidentiality and privacy. Those standards are reinforced through continuous workforce training, vendor contract provisions, policies and procedures, and web-based resources.

8. Conflicts of Interest

Employees should always strive to avoid situations which constitute a conflict of interest or lend to the perception that a conflict of interest exists. Specifically, employees must avoid engaging in any business with the DCH which results in personal financial gain. Similarly, employees must encourage family members to avoid similar transactions since they are subject to the same restrictions as employees. DCH encourages its employees to seek guidance from the Office of General Counsel regarding questions on conflicts of interest.

9. Gifts

Employees are strictly prohibited from individually accepting gifts from any person with whom the employee interacts on official state business. Gifts include, but are not limited to, money, services, loans, travel, meals, charitable donations, refreshments, hospitality, promises, discounts or forbearance that are not generally available to members of the public. Any such item received must be returned to the sender with an explanation of DCH's Ethics Policy.

10. Relationships with Vendors and Lobbyists

DCH values vendors who possess high business ethics and a strong commitment to quality and value. Business success can only be achieved when those involved behave honestly and responsibly. Therefore, it is critical that employees ensure that vendors contracting with DCH are fully informed of DCH policies concerning their relationships with DCH employees and that these policies be uniformly applied to all vendors. Among other requirements, DCH expects that each vendor will honor the terms and conditions of its contracts and agreements. If DCH determines that a vendor has violated the terms and conditions of a contract or agreement, the vendor shall be held responsible for its actions.

Employees must ensure that fair and open competition exists in all procurement activities and contracting relationships in order to avoid the appearance of and prevent the opportunity for favoritism. DCH strives to inspire public confidence that contracts are awarded equitably and economically. DCH will apply the state procurement rules, guidelines, and policies. Open and competitive bidding and contracting will be the rule.

DCH recognizes that lobbyists, both regulatory and legislative, may from time to time seek to meet with DCH employees to advance a particular interest. DCH recognizes that employees may have personal opinions, even those that may be contrary to a position that DCH has adopted. DCH employees, however, must recognize that the public, including legislators and lobbyists, may have difficulty differentiating between the official DCH position and a personal opinion. Accordingly, employees should always work directly with the Director of Legislative Affairs in preparing any responses to requests or questions from elected officials and their staff or lobbyists.

GEORGIA DEPARTMENT OF COMMUNITY HEALTH, DIVISION OF PUBLIC HEALTH
FLEX CAH OPERATIONAL GRANT

STATEMENT OF ETHICS AGREEMENT

DCH STATEMENT OF ETHICSACKNOWLEDGEMENT

BY SIGNING THIS AGREEMENT, I THE UNDERSIGNED, HEREBY ACKNOWLEDGE THAT:

- I have received, read, and understand the Georgia Department of Community Health Statement of Ethics;
- I agree to comply with each provision of the Georgia Department of Community Health Statement of Ethics;
- I am a: Member of the Board of the Department of Community Health
 Member/employee of advisory committee or commission
 Department Employee
 Vendor/Contractor/Subcontractor/Grantee

Signature

Date

Print Name

Print Supervisor's Name

Division/Section

GEORGIA DEPARTMENT OF COMMUNITY HEALTH, DIVISION OF PUBLIC HEALTH
FLEX CAH OPERATIONAL GRANT**ETHICS IN PROCUREMENT POLICY**

NOTE: Carefully read, sign, and adhere to Appendix E, the DCH Ethics in Procurement Policy prior to responding to any Department of Community Health Request for Grant Applications (RFGA). Failure to do so could result in the disqualification of your application at any time during the application process.

I. THE COMMITMENT

The Department is committed to a procurement process that fosters fair and open competition, is conducted under the highest ethical standards, is fully compliant with all instruments of governance and has the complete confidence and trust of the public it serves. To achieve these important public purposes, it is critical that potential and current vendors, as well as employees, have a clear understanding of and an appreciation for, the DCH Ethics in Procurement Policy (the "Policy").

II. SCOPE

This Policy is applicable to all Vendors and Employees, as those terms are defined below.

III. CONSIDERATIONS

Procurement ethics must include, but is not limited to, the following considerations:

A. Legitimate Business Needs

The procurement of goods and services will be limited to those necessary to accomplish the mission, goals, and objectives of the Department.

B. Conflicts of Interest

A "conflict of interest" exists when personal interest interferes in any way with the interests of the Department. A conflict situation can arise when an individual takes actions or has interests that may make it difficult to perform his or her work objectively and effectively. Conflicts of interest also arise when an individual, or a member of his or her Immediate Family, receives improper personal benefits as a result of his or her action, decision, or disclosure of Confidential Information in a Procurement.

C. Appearance of Impropriety

Employees must take care to avoid any appearance of impropriety and must disclose to their supervisors any material transaction or relationship that reasonably could be expected to give rise to a conflict of interest. Similarly, anyone engaged in a business relationship with the Department should avoid any appearances of impropriety.

GEORGIA DEPARTMENT OF COMMUNITY HEALTH, DIVISION OF PUBLIC HEALTH
FLEX CAH OPERATIONAL GRANT**ETHICS IN PROCUREMENT POLICY****D. Influence**

An impartial, arms' length relationship will be maintained with anyone seeking to influence the outcome of a Procurement.

E. Gifts

DCH Employees are prohibited from soliciting, demanding, accepting, or agreeing to accept Gifts from a Vendor.

F. Misrepresentations

Employees and Vendors may not knowingly falsify, conceal or misrepresent material facts concerning a Procurement.

G. Insufficient Authorization

Employees may not obligate the Department without having received prior authorization from an approved official. Engaging in such activity is a misrepresentation of authority.

An Employee's failure to adhere to these considerations, as well as the guidelines set forth herein shall be grounds for disciplinary action, up to and including, termination. Similarly, a Vendor's failure to comply with this Policy will result in appropriate action as determined by governing state and/or federal law, rules and regulations, and other applicable Department policies and procedures.

IV. DEFINITIONS

For purposes of this policy:

"Affiliate Vendor Team" shall mean employees, directors, officers, contractors, and consultants of a Vendor that directly or indirectly assist the Vendor in the preparation of response to a Procurement.

"Confidential Information" shall mean all information not subject to disclosure pursuant to the Open Records Act, O.C.G.A. §50-18-70 et seq. that a current Vendor or potential Vendor might utilize for the purpose of responding to Procurement or that which is deemed disadvantageous or harmful to the Department and to the citizens of the State of Georgia in that such disclosure might lead to an unfair advantage of one Vendor over another in a Procurement.

"Contracting Officer" shall mean the Department Employee maintaining oversight of the Procurement process who may also be designated as the Point of Contact as described below.

"Department" shall mean the Georgia Department of Community Health.

GEORGIA DEPARTMENT OF COMMUNITY HEALTH, DIVISION OF PUBLIC HEALTH
FLEX CAH OPERATIONAL GRANT**ETHICS IN PROCUREMENT POLICY**

"Employee" shall mean any person who is employed by the Department.

"Evaluation Team" shall mean a designated group of Department Employees who review, assess, and score documents submitted to the Department in response to a Procurement solicitation.

"Gifts" shall mean, for purposes of this Policy, money, advances, personal services, gratuities, loans, extensions of credit, forgiveness of debts, memberships, subscriptions, travel, meals, charitable donations, refreshments, hospitality, promises, discounts or forbearance that are not generally available to members of the public. A Gift need not be intended to influence or reward an Employee.

"Financial Interest" shall mean, for purposes of this Policy, an ownership interest in assets or stocks equaling or exceeding 0%.

"Immediate Family" shall mean a spouse, dependent children, parents, in-laws, or any person living in the household of the Employee.

"Kickback" shall mean compensation of any kind directly or indirectly accepted by an Employee from a Vendor competing for or doing business with the Department, for the purpose of influencing the award of a contract or the manner in which the Department conducts its business. Kickbacks include, but are not limited to, money, fees, commissions or credits.

"Procurement" shall mean buying, purchasing, renting, leasing, or otherwise acquiring any supplies, services, or construction. The term also includes all activities that pertain to obtaining any supply, service, or construction, including description of requirements, selection and solicitation of sources, preparation and award of contract, as well as the disposition of any Protest.

"Protest" shall mean a written objection by an interested party to an RFQ or RFP solicitation, or to a proposed award or award of a contract, with the intention of receiving a remedial result.

"Protestor" shall mean an actual bidder/Grantee who is aggrieved in connection with a contract award and who files a Protest.

"Point of Contact" shall mean the individual designated to be a Vendor's only contact with the DCH following the public advertisement of a solicitation or the issuance of a request for a bid, proposal, or quote, until the award of a resulting contract and resolution of a Protest, if applicable.

"Prohibited Contact" shall mean contact with any officer, member of the Board or other Employee of the DCH, other than the Point of Contact, whereby it could be reasonably inferred that such contact was intended to influence, or could reasonably be expected to influence, the outcome of a Procurement. This prohibition includes, without limitation, personal meetings, meals, entertainment functions, telephonic communications, letters, faxes and e-mails, as well as any other activity that exposes the Employee to direct contact with a Vendor. This prohibition does not include contacts with Employees solely for the purpose of discussing existing on-going Department work which is

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FLEX CAH OPERATIONAL GRANT**ETHICS IN PROCUREMENT POLICY**

unrelated to the subject of the Procurement. Inquiries regarding the status of Procurement should also be directed to the Point of Contact.

"Vendor" shall mean any individual or entity seeking to or doing business with the Department within the scope of this Policy, including, without limitation, contractors, consultants, suppliers, manufacturers seeking to act as the primary contracting party, officers and Employees of the foregoing, any subcontractors, sub consultants and sub suppliers at all lower tiers, as well as any person or entity engaged by the Department to provide a good or service.

"DOAS Vendor Manual" shall mean the Georgia of Department of Administrative Services' vendor manual.

V. EMPLOYEE RESPONSIBILITIES**A. *Evaluation Team Members***

1. The Contracting Officer must ensure that employees participating in any Procurement activities have sufficient understanding of the Procurement and evaluation process and the applicable DCH and DOAS rules and regulations and policies associated with the processes.
2. Evaluation team members are tasked with conducting objective, impartial evaluations, and therefore, must place aside any personal and/or professional biases or prejudices that may exist. Additionally, Employees serving on an Evaluation Team must not allow personal relationships (i.e. friendships, dating) with Employees, principals, directors, officers, etc. of a Vendor or individuals on the Affiliate Vendor Team to interfere with the ability to render objective and fair determinations. Such interference may constitute the appearance of, and/or an actual conflict of interest and should be immediately disclosed to the Contracting Officer prior to the Employee's participation on the evaluation team. The Contracting Officer shall consult with the Ethics Officer to make a determination as to whether the Employee should participate on the evaluation team.
3. In the event that the Department determines that a conflict of interest does exist and the Employee failed to make the appropriate disclosure, the Department will disqualify the Employee from further participation on the evaluation team. Furthermore, in the event that the Department determines that the conflict of interest did impact the outcome of a Procurement; such Employee may be subject to disciplinary action, up to and including termination.

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4. In the event that the Department identifies that the employee maintains a relationship of any sort that leads to an appearance of a conflict of interest with respect to a Procurement, the Department may, in its discretion, take appropriate action to eliminate such an appearance, up to and including the disallowance of the Employee's participation in any Procurement activities. In such instances, the employee most likely will not be subject to disciplinary action.
5. Prior to participating on an evaluation team, each DCH Employee must execute a statement attesting and acknowledging that:
 - a. The Employee shall not participate in a decision or investigation, or render an approval, disapproval, or recommendation with respect to any aspect of a Procurement, knowing that the Employee, or member of their immediate family has an actual or potential Financial Interest in the Procurement, including prospective employment;
 - b. The Employee shall not solicit or accept Gifts, regardless of whether the intent is to influence purchasing decisions;
 - c. The Employee shall not be employed by, or agree to work for, a Vendor or potential Vendor or Affiliate Vendor Team during any phase of a Procurement;
 - d. The Employee shall not knowingly disclose Confidential Information;
 - e. The Employee is precluded from engaging in Prohibited Contact upon the release of a Procurement solicitation, during the Evaluation Process, and throughout a Protest period, period of stay or court injunction related to procurement with which Employee was associated or at any time prior to the final adjudication of the Protest;
 - f. The Employee is responsible for reporting any violations of this Policy in accordance with this Policy;
 - g. The Employee will be responsible for complying with all DOAS rules and regulations, as well as Georgia law pertaining to procurements and conflicts of interest; and
 - h. The Employee shall not assist a potential Vendor in the Procurement process in evaluating the solicitation, preparing a bid in response to the evaluation, or negotiating a contract with the Department. This prohibition shall not prohibit the Contracting Officer from carrying out his or her

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prescribed duties as allowed by DCH policy and procedures or the DOAS Vendor Manual.

B. *Responsibilities of Non-Evaluation Team Members*

All Employees should be mindful of the importance of confidentiality during any Procurement. Even if an Employee is not serving in the capacity of a member on the Evaluation Team, the Employee must refrain from engaging in conduct with a Vendor that could result in a conflict of interest or be considered a Prohibited Contact.

VI. VENDOR RESPONSIBILITIES**A.** *Gifts and Kick-Backs*

Vendors may neither offer nor give any Gift or Kick-backs, directly or indirectly, to an Employee. Similarly, no Vendor may offer or give any Gift or Kick-backs, directly or indirectly, to any member of an Employee's Immediate Family. Such prohibited activity may result in the termination of the contract, in those cases where the Vendor has executed a contract with the Department. In the event that a potential Vendor who has submitted a response to a Procurement solicitation engages in such activity, the Department shall act in accordance with DOAS protocol.

B. *Family Relationships with Department Employees*

If a Vendor has a family or personal relationship with the Employee, a Gift that is unconnected with the Employee's duties at the DCH is not necessarily prohibited. In determining whether the giving of an item was motivated by personal rather than business concerns, the history of the relationship between the Vendor and Employee shall be considered. However, regardless of the family or personal relationship between a Vendor and an Employee, a Gift is strictly forbidden where it is being given under circumstances where it can reasonably be inferred that it was intended to influence the Employee in the performance of his or her official duties.

C. *Vendor Submittals*

The Department expects all potential Vendors and current Vendors to be forthcoming, always submitting true and accurate information in response to a Procurement or with regard to an existing business relationship. If the Department determines that the Vendor

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has intentionally omitted or failed to provide pertinent information and/or falsified or misrepresented material information submitted to the Department, the Department shall act in accordance with applicable state law and DOAS procurement policies and procedures.

Vendors must calculate the price(s) contained in any bid in accordance with Section 5.11 of the DOAS Vendor Manual.

D. *Business Relations*

A Vendor may not be allowed to conduct business with the Department for the following reasons:

1. Falsifying or misrepresenting any material information to the Department as set forth hereinabove;
2. Conferring or offering to confer upon an Employee participating in a Procurement (which the entity has bid or intends to submit a bid) any Gift, gratuity, favor, or advantage, present or future; and
3. Any other reasons not explicitly set forth herein that are contained in the DOAS Vendor Manual.

VII. USE OF CONFIDENTIAL INFORMATION

Employees will not use Confidential Information for their own advantage or profit, nor will they disclose Confidential Information during Procurement to any potential Vendor or to any other unauthorized recipient outside DCH.

VIII. ADDRESSING VIOLATIONS**A. *The Process***

Adherence to this policy makes all DCH staff responsible for bringing violations to the attention of the Contracting Officer under Procurement protocols or to a supervisor/manager if the affected Employee is not a part of the Procurement. If for any reason it is not appropriate to report a violation to the Contracting Officer or the Employee's immediate supervisor, Employees will report such violations or concerns to the Ethics Officer. The Contracting Officer and managers are required to report suspected ethics violations to the Ethics Officer who has specific responsibility to investigate all reported violations.

Reporting suspected policy violations by others shall not jeopardize an Employee's tenure with the Department. Confirmed violations will result in appropriate disciplinary action, up

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to and including termination from employment. In some circumstances, criminal and civil penalties may be applicable.

The Ethics Officer will notify the employee making the report of the suspected violation of receipt of such report within five (5) business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

B. *Good Faith Filings*

Anyone filing a complaint concerning a violation of this policy must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

C. *Confidentiality*

Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation. Additionally, all Employees are expected to cooperate in the investigation of such violations. Failure to cooperate in an investigation may result in disciplinary action, up to and including termination from employment.

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ETHICS IN PROCUREMENT POLICY ACKNOWLEDGEMENT AND AGREEMENT

Signature for this form must be a President, Vice President, CEO or an equivalent Authorized Officer

BY SIGNING THIS AGREEMENT, I THE UNDERSIGNED, HEREBY ACKNOWLEDGES AND AGREES THAT:

- I have received, read, and understand the Georgia Department of Community Health's *Statement of Ethic in Procurements*;
- I agree to comply with each provision of the Georgia Department of Community Health's *Statement of Ethics in Procurement*;
- I am a (please check which applies):
 - Contractor
 - Sub-Contractor
 - Vendor

Company Name

Authorized Signature

Date

Print Name

***AFFIX CORPORATE SEAL HERE**

ATTEST:

Signature

Date

Title

***CORPORATIONS WITHOUT A SEAL, MUST ATTACH THEIR CERTIFICATE OF CORPORATE RESOLUTION**

GEORGIA DEPARTMENT OF COMMUNITY HEALTH, DIVISION OF PUBLIC HEALTH
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ETHICS IN PROCUREMENT POLICY ACKNOWLEDGEMENT AND AGREEMENT

Signatory for this form must be a President, Vice President, CEO or an equivalent Authorized Officer

SIGNATURE PAGE

Individual's Name and Title

Company Name

Company FEI Number

Address

City

State

Zip code

Telephone Number

Fax Number

E-mail Address

Signature

Date

GEORGIA DEPARTMENT OF COMMUNITY HEALTH, DIVISION OF PUBLIC HEALTH
FLEX CAH OPERATIONAL GRANT**BUSINESS ASSOCIATE AGREEMENT**

This Business Associate Agreement (hereinafter referred to as "Agreement"), effective this _____ day of _____ is made and entered into by and between the Georgia Department of Community Health (hereinafter referred to as "DCH") and _____ (hereinafter referred to as "Contractor").

WHEREAS, DCH is required by the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 ("HIPAA"), to enter into a Business Associate Agreement with certain entities that provide functions, activities, or services involving the use of Protected Health Information ("PHI");

WHEREAS, Contractor, under Contract No. _____ (hereinafter referred to as "Contract"), may provide functions, activities, or services involving the use of PHI;

NOW, THEREFORE, for and in consideration of the mutual promises, covenants and agreements contained herein, and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, DCH and Contractor (each individually a "Party" and collectively the "Parties") hereby agree as follows:

1. Terms used, but not otherwise defined, in this Agreement shall have the same meaning as those terms in the Privacy Rule, published as the Standards for Privacy of Individually Identifiable Health Information in 45 CFR Parts 160 and 164 ("Privacy Rule");
2. Except as limited in this Agreement, Contractor may use or disclose PHI only to extent necessary to meet its responsibilities as set forth in the Contract provided that such use or disclosure would not violate the Privacy Rule if done by DCH.
3. **Unless otherwise required by Law, Contractor agrees:**
 - A. That it will not request, create, receive, use or disclose PHI other than as permitted or required by this Agreement or as required by law.
 - B. To establish, maintain and use appropriate safeguards to prevent use or disclosure of the PHI other than as provided for by this Agreement.
 - C. To mitigate, to the extent practicable, any harmful effect that is known to Contractor of a use or disclosure of PHI by Contractor in violation of the requirements of this Agreement.

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FLEX CAH OPERATIONAL GRANT**BUSINESS ASSOCIATE AGREEMENT**

- D. That its agents or subcontractors are subject to the same obligations that apply to Contractor under this Agreement and Contractor agrees to ensure that its agents or subcontractors comply with the conditions, restrictions, prohibitions and other limitations regarding the request for, creation, receipt, use or disclosure of PHI, that are applicable to Contractor under this Agreement.
- E. To report to DCH any use or disclosure of PHI that is not provided for by this Agreement of which it becomes aware. Contractor agrees to make such report to DCH in writing in such form as DCH may require within twenty-four (24) hours after Contractor becomes aware.
- F. To make any amendment(s) to PHI in a Designated Record Set that DCH directs or agrees to pursuant to 45 CFR 164.526 at the request of DCH or an Individual, within five (5) business days after request of DCH or of the Individual. Contractor also agrees to provide DCH with written confirmation of the amendment in such format and within such time as DCH may require.
- G. To provide access to PHI in a Designated Record Set, to DCH upon request, within five (5) business days after such request, or, as directed by DCH, to an Individual. Contractor also agrees to provide DCH with written confirmation that access has been granted in such format and within such time as DCH may require.
- H. To give DCH, the Secretary of the U.S. Department of Health and Human Services (the "Secretary") or their designees access to Contractor's books and records and policies, practices or procedures relating to the use and disclosure of PHI for or on behalf of DCH within five (5) business days after DCH, the Secretary or their designees request such access or otherwise as DCH, the Secretary or their designees may require. Contractor also agrees to make such information available for review, inspection and copying by DCH, the Secretary or their designees during normal business hours at the location or locations where such information is maintained or to otherwise provide such information to DCH, the Secretary or their designees in such form, format or manner as DCH, the Secretary or their designees may require.
- I. To document all disclosures of PHI and information related to such disclosures as would be required for DCH to respond to a request by an Individual or by the Secretary for an accounting of disclosures of PHI in accordance with the requirements of the Privacy Rule.
- J. To provide to DCH or to an Individual, information collected in accordance with Section 3. I. of this Agreement, above, to permit DCH to respond to a request by an Individual for an accounting of disclosures of PHI as provided in the Privacy Rule.

GEORGIA DEPARTMENT OF COMMUNITY HEALTH, DIVISION OF PUBLIC HEALTH
FLEX CAH OPERATIONAL GRANT**BUSINESS ASSOCIATE AGREEMENT**

4. **Unless otherwise required by Law, DCH agrees:**
- A. That it will notify Contractor of any new limitation in DCH's Notice of Privacy Practices in accordance with the provisions of the Privacy Rule if, and to the extent that, DCH determines in the exercise of its sole discretion that such limitation will affect Contractor's use or disclosure of PHI.
 - B. That it will notify Contractor of any change in, or revocation of, permission by an Individual for DCH to use or disclose PHI to the extent that DCH determines in the exercise of its sole discretion that such change or revocation will affect Contractor's use or disclosure of PHI.
 - C. That it will notify Contractor of any restriction regarding its use or disclosure of PHI that DCH has agreed to in accordance with the Privacy Rule if, and to the extent that, DCH determines in the exercise of its sole discretion that such restriction will affect Contractor's use or disclosure of PHI.
5. **The Term of this Agreement shall be effective as of _____, and shall terminate when all of the PHI provided by DCH to Contractor, or created or received by Contractor on behalf of DCH, is destroyed or returned to DCH, or, if it is infeasible to return or destroy PHI, protections are extended to such information, in accordance with the termination provisions in this Section.**
- A. **Termination for Cause.** Upon DCH's knowledge of a material breach by Contractor, DCH shall either:
 - 1. Provide an opportunity for Contractor to cure the breach or end the violation, and terminate this Agreement if Contractor does not cure the breach or end the violation within the time specified by DCH;
 - 2. Immediately terminate this Agreement if Contractor has breached a material term of this Agreement and cure is not possible; or
 - 3. If neither termination nor cure is feasible, DCH shall report the violation to the Secretary.
 - B. **Effect of Termination.**
 - 1. Except as provided in paragraph (A.) (2) of this Section, upon termination of this Agreement, for any reason, Contractor shall return or destroy all PHI received from DCH, or created or received by Contractor on behalf of DCH. This provision shall apply to PHI that is in the possession of subcontractors or agents of Contractor. Neither Contractor nor its agents nor subcontractors shall retain copies of the PHI.

GEORGIA DEPARTMENT OF COMMUNITY HEALTH, DIVISION OF PUBLIC HEALTH
FLEX CAH OPERATIONAL GRANT**BUSINESS ASSOCIATE AGREEMENT**

2. In the event that Contractor determines that returning or destroying the PHI is not feasible, Contractor shall send DCH detailed written notice of the specific reasons why it believes such return or destruction not feasible and the factual basis for such determination, including the existence of any conditions or circumstances which make such return or disclosure infeasible. If DCH determines, in the exercise of its sole discretion, that the return or destruction of such PHI is not feasible, Contractor agrees that it will limit its further use or disclosure of PHI only to those purposes DCH may, in the exercise of its sole discretion, deem to be in the public interest or necessary for the protection of such PHI, and will take such additional action as DCH may require for the protection of patient privacy or the safeguarding, security and protection of such PHI.
3. If neither termination nor cure is feasible, DCH shall report the violation to the Secretary.
4. Section 5. B. of this Agreement, regarding the effect of termination or expiration, shall survive the termination of this Agreement.

C. Conflicting Termination Provisions.

In the event of conflicting termination provisions or requirements, with respect to PHI, the termination provisions of Section 5 in this Business Associate Agreement shall control and supersede and control those in the underlying Contract.

6. **Interpretation.** Any ambiguity in this Agreement shall be resolved to permit DCH to comply with applicable Medicaid laws, rules and regulations, and the Privacy Rule, and any rules, regulations, requirements, rulings, interpretations, procedures or other actions related thereto that are promulgated, issued or taken by or on behalf of the Secretary; provided that applicable Medicaid laws, rules and regulations and the laws of the State of Georgia shall supersede the Privacy Rule if, and to the extent that, they impose additional requirements, have requirements that are more stringent than or have been interpreted to provide greater protection of patient privacy or the security or safeguarding of PHI than those of HIPAA and its Privacy Rule.
7. All other terms and conditions contained in the Contract and any amendment thereto, not amended by this Amendment, shall remain in full force and effect.

GEORGIA DEPARTMENT OF COMMUNITY HEALTH, DIVISION OF PUBLIC HEALTH
FLEX CAH OPERATIONAL GRANT

BUSINESS ASSOCIATE AGREEMENT

Signature for this form must be a President, Vice President, CEO or an equivalent Authorized Officer

SIGNATURE PAGE

Individual's Name and Title

Company Name

Address

City

State

Zip code

Telephone Number

Fax Number

E-mail Address

Signature

Date

**GEORGIA DEPARTMENT OF COMMUNITY HEALTH, DIVISION OF PUBLIC HEALTH
FLEX CAH OPERATIONAL GRANT
APPLICATION CHECKLIST**

Include checklist as final page of grant application. Checklist will be completed by the Department of Community Health, Grant Administrator
Mailing Address MAY NOT be a post office box.

Applicant Organization:

Contact Name:

Address:

City:

State:

ZIP Code:

Fax:

E-mail:

DO NOT COMPLETE THE SECTION BELOW: Place checklist on top of application. This checklist will be returned to you and certify that your application for the Georgia Communities Putting Prevention to Work Grant has been received by the Department of Community Health and includes:

- Grant Application Form
- Organizational and Project Narrative to include "SMART" Objectives, Evaluation Plan and a Sustainability Plan
- Budget Plan (*Budget Justification MUST accompany this appendix*)
- Biographical Sketch(s)
- Work Plan Template
- Timeline Template
- Appendix A: Ethics Statement (*Signature Page must be submitted*)
- Appendix B: Ethics in Procurement Policy (*Signature Pages must be submitted*)
- Appendix C: Business Associate Agreement (*Signature Page must be submitted*)

FOR INTERNAL USE: Administrative Review Completed Application Complete Application Incomplete or Non-Responsive

Signature

Date