

**Part 1 Face Sheet  
MEMORANDUM OF AGREEMENT  
MEMORANDUM OF UNDERSTANDING  
STATE OF CONNECTICUT  
Office of Early Childhood  
Family Support Services Division**

- MOA - Financial
- MOU - Non-Financial

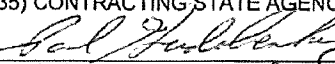

1. Indicate Memorandum Type. Non-financial Agreements do not require fiscal review.
2. Originating agency internal approvals must be shown prior to contracting state agency acceptance.
3. The Office of Early Childhood and the Contractor as listed below hereby enter into an Agreement subject to the terms and conditions stated herein and subject to the applicable provisions of the Connecticut General Statutes.
4. Acceptance of this contract implies conformance with terms and conditions as stated in this Agreement.

	(1) ORIGINAL <input checked="" type="checkbox"/> (2) AMENDMENT <input type="checkbox"/>	(3) OEC Identification No. <b>18OECNFM01UHC</b>	(4) Contracting Agency Identification	
<b>CONTRACTING STATE AGENCY</b>	(4) Contracting State Agency Name <b>University of Connecticut Health Center, Department of Psychiatry</b>		(6) Contracting State Agency State Number <b>UCHM1</b>	(7) Contracting State Agency FEIN <b>UCH-001</b>
	(8) Contracting State Agency Address <b>263 Farmington Avenue, Farmington, CT 06030-1323</b>		(9) Contracting State Agency Liaison & Phone No. <b>Karen Steinberg (860) 679-3712</b>	
<b>ORIGINATING STATE AGENCY</b>	(10) Originating State Agency <b>Office of Early Childhood, Family Support Services Division</b>		(11) Originating State Agency Number <b>OECM1</b>	(12) Originating State Agency FEIN <b>OEC-001</b>
	(13) Originating State Agency Address <b>450 Columbus Boulevard, Suite 204, Hartford CT 06103</b>		(14) Originating State Agency Liaison & Phone No. <b>Aileen McKenna, (860) 500-4402</b>	
<b>CONTRACT PERIOD</b>	(15) Contract Period (From - To) <b>7/1/18 - 6/30/19</b>		(16) Funding Period (From -To) <b>7/1/18 - 6/30/19</b>	
<b>CANCELLATION CLAUSE</b>	This Agreement shall remain in full force and effect for the entire term of the contract period stated above unless cancelled by either party.		(17) Required No. Of Days Written Notice. <b>30 Days</b>	
<b>COMPLETE DESCRIPTION OF SERVICE</b>	(18) The Contracting State Agency shall provide services in accordance with the terms of this Memorandum of Agreement as it continues on page 2.			
<b>COST AND SCHEDULE OF TRANSFER CERTIFICATES</b>	(19) The cost of this agreement shall not exceed <b>\$481,942.00</b> . The Originating State Agency shall issue a transfer certificate under the terms and schedule described herein.			

(20) Line No.	(21) Budget Reference	(22) Fund	(23) Department	(24)		(25) Account	(26) Project/Grant	(27) Chart 1	(28) Chart 2	(29) Amount
				Program	SID					
	2019	11000	OEC64860	83007	12603	52742	OEC0000000007			\$206,942
	2017	12060	OEC64860	83007	20394	52742	OEC0000000007			\$275,000

**(30) ACCEPTANCE AND APPROVALS**

**(31) STATUTORY AUTHORITY -  
OEC: CGS §4-8, 10-500 and 17b-751b  
UCONN: CGS §4a-52a, 10a-104, 10a-108, 10a-151b**

(35) CONTRACTING STATE AGENCY AUTHORIZED OFFICIAL 	<b>Paul Hudobenko</b> Director, Sponsored Programs Services	DATE <b>11/19/18</b>
(36) ORIGINATING AGENCY AUTHORIZED OFFICIAL 	<b>David Wilkinson,</b> Commissioner, or DESIGNEE	DATE <b>11/29/18</b>

- I. GENERAL TERMS AND CONDITIONS.** As used in this Agreement, the term “Memorandum of Agreement” and “MOA” are consistent with the terms “contract” and “Agreement,” the term “OEC” is consistent with the Office of Early Childhood, and the terms “UCHC” and “Contractor” are consistent with the University of Connecticut Health Center.
- A. Term of Agreement.** This Agreement will begin on July 1, 2018 and will terminate on June 30, 2019.
- B. Contract Revision or Amendment.**
1. Either party may request a revision or amendment to this Agreement. A formal amendment shall be required only for extension of the Term of Agreement, revision of the Budget and Payment Provisions, and any other provision deemed material to either party. A contract amendment shall not be effective until executed by both parties.
  2. No amendment or revision may be made to this Agreement if the Term of Agreement has expired.
- C. Cancellation.** Either party may cancel this Agreement without cause by providing written notice of such intention to the other party not less than 30 days prior to cancellation, except that this Agreement may be canceled without prior notice in the event that funding for specified programs are reduced or eliminated by the State. No cancellation of this Agreement shall be effective against payment due by OEC for services already rendered by UCHC.
- D. Assignment.** This Agreement, in whole or in part, shall not be assignable by either party without prior written consent of the other party.
- E. Relationship of the Parties.** This Agreement is made with each party as an independent party and not as an employee of the other party. Each party shall be solely liable for any claims, actions, demands or damages arising out of its performance of this Agreement.
- F. Funding Level.** The total amount of funding provided by this Agreement shall not exceed \$481,942.00. No more than 20% of the funds may be allocated for indirect cost without prior written approval of the OEC.
- G. Funding Availability.** OEC assumes no liability for payment under the terms of this Agreement until and unless all funds for this agreement are authorized and available.
- H. Subcontractors.**
1. UCHC must obtain written approval from OEC prior to entering into subcontracts for the purpose of implementing programs funded under this Agreement.
  2. No subcontractor shall acquire any direct right of payment from OEC by virtue of the provisions of any section of this Agreement. The use of subcontractors shall not relieve UCHC of any responsibility or liability under this Agreement.
  3. UCHC shall make available to OEC copies of all subcontracts upon request. All subcontracts issued using funds provided under this Agreement shall include provisions requiring such subcontractors to comply fully with all applicable terms and conditions of this Agreement.
  4. UCHC shall be responsible for monitoring the fiscal and programmatic activities of any subcontractor.
  5. UCHC shall include reports of subcontractor activities in any report required by OEC under this Agreement.
- I. Nondiscrimination.** The parties to this Agreement shall adhere to the Nondiscrimination provisions under Section 4a-60 of the Connecticut General Statutes, as amended to date, to ensure that employment practices under this Agreement will not permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, intellectual disability, mental disability physical disability, or veteran status in any manner prohibited by the laws of the United States or the State of Connecticut.

## J. Protection of Confidential Information.

1. **“Confidential Information”** shall mean any name, number or other information that may be used, alone or in conjunction with any other information, to identify a specific individual including, but not limited to, such individual’s name, date of birth, mother’s maiden name, motor vehicle operator’s license number, Social Security number, employee identification number, employer or taxpayer identification number, alien registration number, government passport number, health insurance identification number, demand deposit account number, savings account number, credit card number, debit card number or unique biometric data such as fingerprint, voice print, retina or iris image, or other unique physical representation. Without limiting the foregoing, Confidential Information shall also include any information regarding clients that the Agency classifies as “confidential” or “restricted.” Confidential Information shall not include information that may be lawfully obtained from publicly available sources or from federal, state, or local government records which are lawfully made available to the general public.
2. **“Confidential Information Breach”** shall mean, generally, an instance where an unauthorized person or entity accesses Confidential Information in any manner, including but not limited to the following occurrences: (1) any Confidential Information that is not encrypted or protected is misplaced, lost, stolen or in any way compromised; (2) one or more third parties have had access to or taken control or possession of any Confidential Information that is not encrypted or protected without prior written authorization from the State; (3) the unauthorized acquisition of encrypted or protected Confidential Information together with the confidential process or key that is capable of compromising the integrity of the Confidential Information; or (4) if there is a substantial risk of identity theft or fraud to the client, the Agency, the Contractor, or the State.
3. Contractor and Contractor Parties, at their own expense, have a duty to and shall protect from a Confidential Information Breach any and all Confidential Information which they come to possess or control, wherever and however stored or maintained, in a commercially reasonable manner in accordance with current industry standards.
4. Each Contractor or Contractor Party shall develop, implement and maintain a comprehensive data – security program for the protection of Confidential Information. The safeguards contained in such program shall be consistent with and comply with the safeguards for protection of Confidential Information, and information of a similar character, as set forth in all applicable federal and state law and written policy of the Agency or State concerning the confidentiality of Confidential Information. Such data security program shall include, but not be limited to, the following:
  - a. A security policy for employees related to the storage, access and transportation of data containing Confidential Information;
  - b. Reasonable restrictions on access to records containing Confidential Information, including access to any locked storage where such records are kept;
  - c. A process for reviewing policies and security measures at least annually;
  - d. Creating secure access controls to Confidential Information, including but not limited to passwords; and
  - e. Encrypting of Confidential Information that is stored on laptops, portable devices or being transmitted electronically.
5. The Contractor and Contractor Parties shall notify the Agency and the Connecticut Office of the Attorney General as soon as practical, but no later than twenty-four (24) hours, after they become aware of or suspect that any Confidential Information which Contractor or Contractor Parties have come to possess or control has been subject to a Confidential Information Breach. If a Confidential Information Breach has occurred, the Contractor shall, within three (3) business days after the notification, present a credit monitoring and protection plan to the Commissioner of Administrative Services, the Agency and the Connecticut Office of the Attorney General, for review and approval. Such credit monitoring or protection plan shall be made available by the Contractor at its own cost and expense to all individuals affected by the Confidential Information Breach. Such credit monitoring or protection plan shall include, but is not limited to reimbursement for the cost of placing and lifting one (1) security freeze per credit file pursuant to C.G.S. § 36a-701a. Such credit monitoring or protection plans shall be approved by the State in accordance with this Section and shall cover a length of time commensurate with the circumstances of the Confidential Information Breach. The Contractors’ costs and expenses for the credit monitoring and protection plan shall not be recoverable from the Agency, any State of Connecticut entity or any affected individuals.

6. The Contractor shall incorporate the requirements of this Section in all subcontracts requiring each Contractor Party to safeguard Confidential Information in the same manner as provided for in this Section.
7. Nothing in this Section shall supersede in any manner Contractor's or Contractor Party's obligations pursuant to the Health Insurance Portability and Accountability Act of 1996 ("HIPAA") or the provisions of this Contract concerning the obligations of the Contractor as a Business Associate of Covered Entity.

**K. Liaison and Notices.**

1. Both parties agree to have specifically named liaisons at all times. These representatives of the parties will be the first contacts regarding any questions and problems which may arise during the implementation and operation of the contract.
2. Whenever under this contract one party is required to give notice to the other, such notice shall be deemed given under delivery. Notices shall be addressed as follows:
  - a. **In case of notice to the UCHC:**  
Paul Hudobenko  
Director of Sponsored Program Services  
263 Farmington Avenue  
Farmington, CT 06030-5335  
(806) 679-4040  
[hudobenko@uchc.edu](mailto:hudobenko@uchc.edu) / [sps@uchc.edu](mailto:sps@uchc.edu)
  - b. **In case of notice to the OEC:**  
Aileen McKenna  
Director, Family Support Services Division  
Office of Early Childhood  
450 Columbus Boulevard, Room 245  
Hartford, CT 06003  
(860) 500-4402  
[aileen.mckenna@ct.gov](mailto:aileen.mckenna@ct.gov)

**II. PURPOSE AND PROGRAM DESCRIPTION.** This Memorandum of Agreement is entered into for the purpose of outlining the responsibilities between OEC and UCHC in implementing the Nurturing Families Network (“NFN”) and Mind over Mood (“MoM”) Programs with eligible families referred to or receiving prenatal, postnatal, and/or pediatric care from UCHC. The funds provided under this MOA shall be used to provide NFN and MoM services for the term of this MOA.

**A. Nurturing Families Network Program.**

1. **Definitions.** The following terms shall be used in this contract as defined below:
  - a. **Contract period:** July 1, 2018 through June 30, 2019.
  - b. **Eligibility Period:** July 1, 2018 through May 31, 2019.
  - c. **Incentive Payment Tracking Period:** July 1, 2018 through May 31, 2019.
  - d. **Index or Target Child(ren):** a child or children under the care of a Caregiver(s) enrolled in the Program and receiving home visits from UCHC.
  - e. **Caregiver:** a parent, or other adult person involved in the care of an Index Child, enrolled in the Program and receiving home visits from UCHC.
  - f. **Client or Family:** the unit of Caregiver(s) and Index Child(ren) living in UCHC’s identified high-risk communities and enrolled in Program services.
  - g. **Client-based Outcomes or Rate Card:** OEC selected outcomes that, if achieved, will generate performance or contingent payments. The outcomes are detailed in the Rate Card Reference Guide for State-Funded Programs Nurturing Families Network, as amended from time to time on the OEC website: <http://www.ct.gov/oec/cwp/view.asp?a=4544&q=536416>
  - h. **Assessment and Screening tools:** tools including but not limited to Revised Early Identification Tool (“REID”), Kempe Family Stress Inventory (“KFSI”), Hurt-Insult-Threaten-Scream (“HITS”), Parenting Interactions with Child: Checklist of Observations Linked to Outcomes (“PICCOLO”), Ages and Stages Questionnaire-3 (“ASQ-3”), and the Ages and Stages Questionnaire-Social Emotional 2 (“ASQ-SE-2”) and other tools identified in the Policy and Procedures manual.
  - i. **High-Risk Family:** a Family that has at least one of the identified risks (history of substance abuse, history of psychiatric care, marital or family problems, and history of or current depression) on the REID tool and a score of greater than or equal to 25 on the KFSI tool.
  - j. **Low-Risk Family:** a Family that does not have at least one of the identified risks (history of substance abuse, history of psychiatric care, marital or family problems, and history of or current depression) on the REID tool, and / or a score of greater than or equal to 25 on the KFSI tool.
  - k. **Postpartum Period:** The time period from the birth of the Index Child through two months postpartum.
  - l. **Well-Child Visits:** The American Academy of Pediatrics has defined well-child visits as regularly scheduled visits with a child’s primary care provider at the following intervals: 3 to 5 days old; 1 month old; 2 months old; 4 months old; 6 months old; 9 months old; 12 months old; 15 months old; 18 months old; 2 years old (24 months); 2 ½ years old (30 months); 3 years old; and annually thereafter.
  - m. **Home Visitor Full-Time Equivalent Allocation (FTE):** The total employment percentage of a home visitor, expressed as a percentage of a Full-Time Equivalent (40 hours per week or as defined by organization) employee.
  - n. **Substantiated Incident of Maltreatment:** an incident of substantiated maltreatment with the Connecticut Department of Children and Families (“DCF”) that was not reported by UCHC staff or other exclusions per the Rate Card Reference Guide.

- o. **Child Injury Incident:** a visit by the Index/Target Child(ren) to the emergency room due to child injury or ingestion.
  - p. **Employment:** Paid part-time or full-time employment that requires at least twenty hours of work per week.
  - q. **Education and Training Program:** programs including but not limited to post-secondary education programs, Supplemental Nutrition Assistance Program (“SNAP”) employment and training programs, secondary school completion programs, industry-recognized certificate and credential programs, or other programs approved by OEC
  - r. **ECIS:** OEC’s Early Childhood Information System to be used for programmatic and statistical reporting.
  - s. **CQI:** Continuous Quality Improvement.
  - t. **Equipment:** machinery, tools, furniture, vehicles, and other personal property with a normal useful life of more than one year and a value of \$5,000.00 or more, or as revised by the Comptroller of the State of Connecticut.
  - u. **Assets:** computer, audio/visual, and electrical equipment valued less than \$5,000.00 per item.
  - v. **E & A:** Equipment and Assets.
2. **NFN Description of Services.**
- a. **Basic Services.**
    - i. The NFN Program provides a system of continuous care including but not limited to Intensive Home Visiting services, to improve maternal and child health, prevent child abuse and neglect, encourage positive parenting, and promote child development and school readiness. The mission of the Program is to work in partnership with first-time and non-first-time parents facing the challenges of parenthood by enhancing their strengths, providing education, and creating community connections.
    - ii. The NFN Program has three primary components - Intensive Home Visiting, Nurturing Connections, and Nurturing Parenting Groups. Eligibility requirements for each component are detailed in the NFN Policy Manual as amended from time to time on the OEC website <http://www.ct.gov/oec/cwp/view.asp?a=4544&q=536416>
      - (a) The Intensive Home Visiting program component provides weekly home visitation and case management services to all pregnant and first-time parents. Program services begin prenatally whenever possible; in the hospital at the time of the child’s birth; or at the latest before the child’s fourth month of age.
      - (b) Nurturing Connections conducts universal screening of all pregnant and first-time parents. Parents determined through a risk assessment provided during the screening to be at lower risk of being abusive or neglectful are contacted by telephone and offered support, educational materials, and referral information to other community services.
      - (c) Nurturing Parenting Groups are community-based parenting education and support groups for families at various risk levels.
    - iii. Throughout the term of this contract, UCHC shall operate the Program as an affiliate of the national “Parents As Teachers” organization in the geographic area served by UCHC, including the towns and cities of **Avon, Bristol, Canton, Farmington/Unionville, New Britain, Simsbury, and West Hartford, CT**. UCHC may not make any changes to the Program without prior written permission from the OEC.

- iv. Throughout the term of this contract, UCHC shall provide Program services in compliance with the requirements for implementation of the NFN Program Policy Manual.
- v. The Program services shall begin prenatally whenever possible, optimally before the third trimester of pregnancy and before the child turns 3 months and 30 days of age, and may continue until the day before the child’s 6<sup>th</sup> birthday.
- vi. UCHC shall perform the following activities:
  - (a) Enter into Memoranda of Understanding with all the prenatal clinics, birthing hospitals, Nurturing Families Network Connections program sites and other home-visiting providers in UCHC’s catchment area to participate in a referral network;
  - (b) Provide to all Clients an initial comprehensive risk assessment, subsequent re-assessments at least annually, and screenings using Assessment and Screening tools, on schedules as appropriate to each tool, as required by the OEC and/or by the evidence-based home visiting model referenced herein;
  - (c) Provide Intensive Home Visiting services as follows:
    - (1) Traditional Home Visitors. The Contactor shall provide employees to act as traditional home visitors to conduct home visits and work with Clients, in accordance with the results of Assessment and Screening tools, at the Caregivers’ discretion.
    - (2) Fathering Home Visitors. If UCHC provides Fathering Home Visitors, the following provisions shall apply:
      - (i) UCHC shall provide employees to act as fathering home visitors to conduct visits and work with Caregivers who are the identified male caregivers of Index/Target Child(ren).
      - (ii) The Contactor shall provide fathering home visitors to conduct home visits and work with Families in accordance with the results of the Assessment and Screening tools detailed herein and at the Families’ discretion.
      - (iii) A Family receiving a joint home visit involving both a traditional and fathering home visitor shall be included separately under each home visitor’s visit count, but that Family shall be counted only once in terms of the Program’s total Family enrollment for reporting purposes.
    - (3) UCHC shall engage in ongoing recruitment activities as set forth in the NFN Policy Manual to maintain full caseloads at any given time.
    - (4) Home Visitor Caseload.
      - (i) UCHC shall ensure that each home visitor maintains a full caseload including a maximum of 25 enrolled families and a minimum number of enrolled families in accordance with the following table:

Home Visitor Full-Time Equivalent Allocation	Minimum Caseload
1	(iv) 9
0.875	8
0.75	7
0.625	6
0.5	5
0.375	4
0.25	3

- (ii) Each 1.0 FTE home visitor shall schedule and complete a minimum of 10 home visits per week. The number of each visitor’s home visits may be adjusted in proportion to his or her FTE time at work and for weeks containing State or Federal holidays and/or UCHC’s OEC-approved vacation, sick time, and closures. In the event that UCHC fails to meet these requirements it may be subject to a formal corrective action plan as determined by the OEC. The following table details the FTE allocation and minimum weekly home visits by home visitor:

Home Visitor Full-Time Equivalent Allocation	Minimum Weekly Home Visits
1	10
0.875	8
0.75	7
0.625	6
0.5	5
0.375	4
0.25	3

- (5) Home visitors will visit the Families in their caseload on a weekly, bi-weekly, or monthly basis, as determined by the assessments and screenings detailed herein and at the Families’ discretion.
- (d) Provide Nurturing Parenting Groups as follows:
  - (1) UCHC will provide 20 groups sessions per contract year during the contract period. The length of each session must be in accordance with the curriculum listed in the current NFN Program Manual as amended from time to time.
  - (2) At full capacity, UCHC shall provide post-natal support to low risk families in the form of telephone support, email, and group to 50 families per contract year during the contract period.
- (e) Collect demographic and benchmark data described herein as required by the OEC, including but not limited to household information for all Families;
- (f) Actively participate in all meetings as required by the OEC;
- (g) Ensure that all personnel funded under this contract complete pre-service and in-service training as required by the OEC; and
- (h) Purchase all training curriculum and materials as required by the OEC.
- b. **OEC Site Visit.** UCHC agrees to participate in an annual site visit by OEC Family Support Services staff to identify program implementation strengths and challenges and progress towards quality service provision and model fidelity. During the site visit, the performance of UCHC and of its subcontractors shall be reviewed and evaluated with demographic and outcome metrics. Such reviews and evaluations may be performed by examination of Client records, service logs, other documents and reports, and a meeting(s) with UCHC staff and/or Clients and Board members. Site visits shall be conducted at funded facilities and program sites administered by UCHC and/or any subcontractor.

**3. NFN Client-Based Outcomes and Measures.**

- a. UCHC will be responsible for entering all outcomes-related data into ECIS on an ongoing basis. Outcomes reported by UCHC are subject to verification using programmatic/statistical reports, administrative records and/or audit.



b. **Outcomes and Measures.**

- i. UCHC will measure the following outcomes for Families initially enrolled in the Program during the Eligibility Period:
- (a) **Full-Term Birth Outcome.** Families enrolled prenatally before the 28<sup>th</sup> completed week of gestation deliver Index Child(ren) associated with a unique pregnancy at or greater than 37 weeks of gestation.
  - (b) **Parent-Child Wellness Outcome.** The Index Child(ren) receive Well-Child Visits in accordance with the American Academy of Pediatrics Schedule within the Postpartum Period and the mother receives a postpartum visit with a healthcare provider.
  - (c) **Safe Children Outcome.**
    - (1) For the Safe Children Outcome, UCHC may count any Family enrolled during the full outcome reporting period that fulfills either of the following circumstances:
      - (i) The family has no Substantiated Incidents of Maltreatment Investigation against an enrolled caregiver;
      - (ii) An incident of maltreatment investigation is pending and the Index Child(ren) has/have not been removed from the Family; or
      - (iii) There are no Child Injury Incidents that received Emergency Room medical care for any Index Child(ren) during the outcome reporting period.
    - (2) The following circumstances **do not** disqualify a Family from being counted for the Safe Children Outcome:
      - (i) The incident of maltreatment was reported by an NFN Program staff member; or
      - (ii) The incident of maltreatment was reported to DCF prior to their enrollment in NFN.
  - (d) **Caregiver Employment Outcome.** Enrolled Caregiver is employed or enrolled in an Education or Training Program per outcome reporting period. For the Caregiver Employment Outcome UCHC may count any caregiver enrolled for the full outcome reporting period.
- ii. **Outcome Tracking.** Each Family will only be counted a maximum of one time for the Full-Term Birth Outcome and Parent-Child Wellness Outcome. Each Family may be counted once per reporting period for the Safe Children Outcome. Each enrolled Caregiver may be counted once per reporting period for the Caregiver Employment Outcome.

4. **NFN Reporting.**

- a. UCHC shall submit all required reports, written or electronically as directed by the OEC, to the OEC's Program representative(s).
- b. UCHC further agrees to provide other reports concerning contracted services which the OEC may reasonably require. When such other reports are deemed regular and are not explicitly stated herein, the OEC shall notify UCHC in writing at least 30 calendar days prior to the initial submission date. This notification shall minimally include the required data, format, and date of submission for the report.
- c. **Programmatic/Statistical Reporting.**
  - i. UCHC shall collect and provide real-time individualized or aggregate Client data to the OEC upon request;
  - ii. At the request of the OEC, UCHC shall provide all requested information and documentation in accordance with a time schedule provided by the OEC.

iii. UCHC shall not use or release individualized or aggregate Client data for the purpose of evaluation, research, or promotional activities without prior written approval by the OEC or with specific reference to an OEC publication or an OEC authorized research and program evaluation document or report.

iv. **Basic Services reporting.**

(a) UCHC shall submit Program Status Reports for the Program, in a format(s) determined by the OEC, on the following schedule:

Reporting Period	Reports Due on or before
July 1, 2018 – September 30, 2018	October 31, 2018
October 1, 2018 – December 31, 2018	January 31, 2019
January 1, 2019 – March 31, 2019	April 30, 2019
April 1, 2019 – June 30, 2019	July 31, 2019

(b) **Data collection.**

(1) UCHC shall collect and enter all data into appropriate databases as directed by the OEC. Such data includes but is not limited to:

- (i) Demographic and benchmark data entered for all families in the ECIS database;
- (ii) Model specific information entered for all families in respective databases (ECIS and/or OEC identified database used for model fidelity reporting) as dictated by OEC.

(2) Reporting periods for demographic and benchmark data are as follows:

Reporting Period	Reports Due on or before
July 1, 2018 – September 30, 2018	October 31, 2018
October 1, 2018 – December 31, 2018	January 31, 2019
January 1, 2019 – March 31, 2019	April 30, 2019
April 1, 2019 – June 30, 2019	July 31, 2019

v. **Outcome/Rate Card Data Entry and Verifications.** UCHC shall collect and enter into ECIS all data relevant to the Caseload Maintenance, Full Term Birth, Parent-Child Wellness, Safe Children and Caregiver Employment Outcomes as follows:

Reporting Period	Reports Due on or before
July 1, 2018 – September 30, 2018	October 15, 2018
October 1, 2018 – December 31, 2018	January 15, 2019
January 1, 2019 – March 31, 2019	April 12, 2019
April 1, 2019 – May 31, 2019	June 14, 2019

d. **Financial Reporting.**

i. **Basic Services financial reporting.** UCHC shall submit to the OEC fiscal reports on forms provided by the OEC on the following schedule:

Reporting Period	Reports Due on or before
July 1, 2018 – December 31, 2018	January 31, 2019
July 1, 2018 – March 31, 2019	April 30, 2019
July 1, 2018 – June 30, 2019	July 31, 2019

ii. **Annual Audit:** Notwithstanding the provisions of Part II of this Contract, no later than six months after the close of UCHC’s fiscal year, UCHC shall provide to the OEC a complete annual financial audit acceptable to the OEC for all program funds, whether state awarded or not. Such audit shall include audit recommendations. The OEC reserves the right to

receive a copy of any audit for related parties under common control. UCHC shall maintain all fiscal records and accounts for three years after the end of the contract year, or until the State Auditors of Public Accounts complete an audit of the OEC for such fiscal year, whichever is later. The State Auditors of Public Accounts shall have access to such fiscal records and accounts during such period.

- iii. **Interest:** Any interest earned by UCHC as a result of payments authorized by the OEC shall be reported to the OEC by UCHC on the next Financial Report submitted after that interest income is earned. UCHC agrees to follow the OEC's direction as to the disposition of such interest income.

5. **Program Administration.**

- a. Throughout the term of this contract, UCHC shall operate the Program in accordance with the Policy and Practice guidelines provided by the OEC's Family Support Services Division.
- b. UCHC shall provide Program services at the following locations during the standard hours of operation listed, excluding State and Federal holidays and facility closures: *263 Farmington Avenue, Farmington, CT 06063, or 65 Kane St., Hartford CT, 06106; Monday-Friday, 8:00 am – 5:00 pm.*
- c. Throughout the term of this contract, UCHC and/or its subcontractors shall staff the Program with the positions listed in the Contract Budget reporting tool.
- d. UCHC shall follow the work plan for each Program including timetable and staffing plan as approved by the OEC.
- e. UCHC agrees to develop and maintain policies relative to personnel. Said personnel policies shall be maintained at UCHC's location in UCHC's files and be made available to the OEC as requested by the OEC, its representatives and its agents. UCHC further agrees to submit a copy of its personnel policies to the OEC, if requested, within 10 calendar days of receipt of such request.
- f. UCHC shall adhere to the minimum staff qualifications for each position and submit resumes for all Program staff including new hires to the OEC's designated representative.
- g. **Notification of Changes in Personnel:** UCHC shall immediately notify the OEC in writing whenever UCHC intends to make or undergo changes in the following personnel:
  - i. key personnel, i.e., Chief Executive Officer, Chief Financial Officer, Program Directors and officers and members of UCHC's Board of Directors.
  - ii. program staff, positions and service personnel (program manager, clinical supervisor and home visitors) employed by UCHC or its subcontractors as applicable to services funded under this Contract.
- h. UCHC shall accept full responsibility for the provision of some of the direct services by graduate level students in the disciplines of psychology, counseling, social work and family therapy, who will facilitate Nurturing Parenting Groups, Connection support, and provide Intensive Home Visiting services to eligible parents who are hospitalized prenatally and/or when the child or parent is hospitalized after the child's birth.
- i. UCHC shall be liable for the negligent acts and omissions of its employees in accordance with Connecticut General Statutes §§ 5-141d and 10-235.
- j. **Credits and Rights in Data.**
  - i. **"Data"** shall mean all results, technical information and materials developed and/or obtained in the performance of the Services hereunder, including but not limited to all reports, survey and evaluation tools, surveys and evaluations, plans, charts, recordings (video and/or sound), pictures, curricula, electronically prepared presentations, public awareness or prevention campaign materials, drawings, analyses, graphic representations, computer programs and

printouts, notes and memoranda, and documents, whether finished or unfinished, which result from or are prepared in connection with the Services performed hereunder.

- ii. Unless expressly waived in writing by the OEC, all Records and publications intended for public distribution during or resulting from the performances of this Contract shall include a statement acknowledging the financial support of the State and the OEC and, where applicable, the federal government. All such publications shall be released in conformance with applicable federal and state law and all regulations regarding confidentiality. Any liability caused by such a release by the UCHC shall be the sole responsibility of the UCHC. All publications shall contain the following statement: "This publication does not express the views of the Office of Early Childhood or the State of Connecticut. The views and opinions expressed are those of the authors." Neither the UCHC nor any of its agents shall copyright Data and information solely pertaining to the NFN network that is obtained under this Contract, unless expressly previously authorized in writing by the OEC. The OEC shall have the right to publish, duplicate, use and disclose all such Data in any manner, and may authorize others to do so. The OEC may copyright any Data without prior Notice to the UCHC. The UCHC does not assume any responsibility for the use, publication or disclosure solely by the OEC of such Data.

#### 6. **Quality Assurance.**

- a. UCHC agrees to conduct an annual Program self-assessment by monitoring the Program services provided under this contract to assess goals, progress, and effectiveness and shall make a report with recommendations to UCHC's administrative and program staff. The Program evaluation report shall be made available to the OEC's Program representative at the time of the annual OEC site visit.
- b. UCHC agrees to participate in any evaluation program as directed by the OEC.
- c. Clients shall participate in a Program evaluation process by completing a client satisfaction survey as provided by UCHC. A summary of these surveys shall be included in the Program evaluation report described herein.
- d. UCHC agrees to follow the policies and procedures recommended by the CQI Team and approved by the OEC.
- e. UCHC shall provide a local and community level CQI plan and conduct CQI activities for the Program as outlined by the OEC.
- f. UCHC agrees to serve on the state CQI Team if elected to the delegation representing their geographical service area or role within the Program.
- g. UCHC agrees to comply with any and all applicable regulations adopted by the OEC or other Agencies pursuant to the services provided under this contract and, as applicable, require that all pertinent subcontractors comply as well.
- h. **Transport of Clients:** In the event that UCHC or any of its employees or subcontractors shall, for any reason, transport a Client, UCHC hereby agrees to the following:
  - i. UCHC shall require that its employees, subcontracted transportation providers, drivers, and vehicles meet licensure or certification requirements established by the State of Connecticut Department of Transportation and the State of Connecticut Department of Motor Vehicles that transport, or have the potential to transport, Clients; and
  - ii. All vehicles utilized shall be appropriately licensed, certified, permitted, and insured.

#### B. **Mind over Mood (MoM) Program.**

- 1. **MoM Oversight.** Karen Steinberg, as Mind over Mood program director, shall be responsible for overseeing the MoM activities under this agreement for increasing access and availability of maternal health services for NFN families.

2. **MoM Services.** UCHC shall provide the following Mind over Mood services:
  - a. **Clinical treatment, Recruitment, Training and Technical Assistance.**
    - i. UCHC shall recruit private practice therapists which they will train to work with clients identified by NFN Family Support Workers through screening as needing mental health services. The therapists recruited for this project shall be eligible Medicaid providers who are currently providing services within the communities where the NFN programs are located, and are available to provide therapy in the homes of mothers participating in NFN.
    - ii. UCHC will train the community-based therapists in the MoM Initiative, the COMPASS treatment model, and the NFN approach to home visiting; coordinate interactions and meetings as necessary among MoM therapists and the NFN site staff; and provide technical assistance to members of the partnership as needed. Under this plan, UCHC will also train the NFN family support works and clinical supervisors, as necessary, to screen mothers for depressive symptoms and connect them with a therapist for treatment.
    - iii. UCHC shall organize and hold meetings with therapists and the NFN site staff, train the therapists in the COMPASS model and NFN approach to home visiting, and provide technical assistance to the partnerships. Under this plan, UCHC will also train the NFN home visitor staff to screen mothers for depressive symptoms and connect them with a therapist for treatment.
    - iv. UCHC shall develop and maintain a directory of community-based therapists who have been trained in Mind over Mood and who are available to accept referrals from NFN sites that identify maternal mental health concerns among their clients.
    - v. UCHC shall maintain a Clinical Service, including at least one licensed therapist, who will provide direct services using the COMPASS model, to NFN site referrals for maternal mental health concerns. The therapist or therapists will provide in-home treatment for women who may not be able to be referred to community-based MoM clinicians for various reasons such as: Spanish-speaking, lack of insurance coverage for mental health treatment, lack of available therapist in geographic area. Therapist or therapists at UCHC's Clinical Service will be supervised by the MoM program director.
  - b. **Mind over Mood Expansion.** Expansion of the MoM Initiative addressing mental health in Connecticut will increase Spanish language therapists and increase the number of therapists in the geographic areas of Connecticut that have been under-represented. UCHC shall use funds provided under this agreement to hire an NFN group facilitator and/or Maternity visitor, which will enable the program to increase MoM staffing levels. This will have the impact of more dedicated staff time for Mind over Mood activities.
    - i. **Implementation.**
      - (a) UCHC shall provide direct treatment or triage to community-based therapists through this project for a minimum of 50 and no more than 250 mothers participating in the NFN program who suffer from depression, other mental health disturbance, and/or the effects of trauma or anxiety as determined through screening at NFN sites.
      - (b) UCHC shall design and distribute materials to promote and provide information to eligible families regarding the MoM Program.
    - ii. **Evaluation.** UCHC will work with the OEC to determine an evaluation plan to assess the effectiveness of the Mind over Mood program, which may be carried out in the future dependent upon OEC priorities and funding mechanisms. This may include testing the efficacy of the COMPASS intervention, examining training and screening protocols for Family Support Workers, evaluating dissemination and technology transfer efforts designed to bring research knowledge into community practice settings.

3. **MoM Reporting.**

- a. UCHC shall provide financial and programmatic Program Status reports on MoM activities and expenditures separate from the State-funded NFN activity reports.
- b. **Programmatic Reporting.** The UCHC shall provide all requested information and documentation to the OEC in accordance with a time schedule provided by the OEC. The UCHC agrees that program participants will be assigned a number and that number, without any identifying participant information, will be provided to the OEC.
- c. **Report Schedule.** The UCHC will submit to the OEC Program Status Reports in a format(s) agreed upon by the UCHC and fiscal reports on forms provided by the OEC on the following schedule:

Report Period	Report Type Due	Report Due Date
7/1/18 – 9/30/18	Program Status	10/31/18
10/1/18 – 12/31/18	Program Status, Fiscal	1/31/19
1/1/19 – 3/31/19	Programmatic, Fiscal	4/30/19
4/1/19 – 6/30/19	Final Program Status, Final Fiscal	7/31/19

III. BUDGET AND PAYMENT PROVISIONS.

A. Budget Provisions.

1. UCHC agrees to utilize OEC funds for NFN and MoM Program services in accordance with the budget contained herein. Budgets for Funding Periods not included herein shall remain the same as the included budget until and unless formally revised via the OEC's Budget Revision process or via formal amendment to this contract. NFN Performance Incentive (Outcome/Rate Card) payments must be used for services or expenses allowable under the NFN Program Policy Manual and OPM Cost Standards.

Effective Date: 8/31/2018  
 CONTRACT NUMBER: 18OECNFN01UHC Tot \$477,884  
 CONTRACT PERIOD: 07/01/2018 through 08/30/2019  
 FISCAL YR (SFY): 2019  
 PROVIDER: UCONN Health Center  
 Approved by: CappucciniM

4000 INCOME		NFN	MoM - Federal	NFN Performance Incentive	Total Income	
Program Funding Period:		<u>07/01/2018 through 06/30/2019</u>	<u>07/01/2018 through 06/30/2019</u>	<u>07/01/2018 through 06/30/2019</u>		
		SFY19 \$202,884 State NFN Base Contract	SFY19 \$275,000 Federal MoM Services	SFY19 \$4,058 State NFN Performance Incentive		
		Chiefd 2=State Funds	Chiefd 2=Federal Funds	Chiefd 2=State Funds		
4100	CONTRACT FUNDING	SID	\$ 202,884	\$ 275,000	\$ 4,058	\$ 481,942
4101	State Funds	12603-DEC...007/19	\$ 202,884			\$ 202,884
4101	State Funds	Performance Incentive			\$ 4,058	\$ 4,058
4102	Federal/Other Funds	20304-DEC...007		\$ 275,000		\$ 275,000
<b>TOTAL INCOME</b>			<b>\$ 202,884</b>	<b>\$ 275,000</b>	<b>\$ 4,058</b>	<b>\$ 481,942</b>
5000 DIRECT EXPENSES		NFN	MoM - Federal	NFN Performance Incentive	Total Expenses	
5100	SALARIES		\$ 167,670	\$ 129,741	\$ -	\$ 297,411
5101	Staff Salaries & Wages		\$ 167,670	\$ 129,741	\$ -	\$ 297,411
5200	FRINGE BENEFITS		\$ -	\$ 80,577	\$ -	\$ 80,577
5400	TRANSPORTATION		\$ -	\$ 13,749	\$ -	\$ 13,749
5401	Staff Travel Reimbursement			\$ 13,749		\$ 13,749
5500	MATERIALS AND SUPPLIES		\$ 1,400	\$ 5,100	\$ -	\$ 6,500
5501	Food		\$ 500	\$ 500		\$ 1,000
5503	Equipment (Less than \$5,000)		\$ 900	\$ 3,100		\$ 4,000
5504	Other MCIs and Spcls (specify in narrative)			\$ 1,500		\$ 1,500
<b>TOTAL DIRECT EXPENSES</b>			<b>\$ 169,070</b>	<b>\$ 229,167</b>	<b>\$ -</b>	<b>\$ 398,237</b>
7000 INDIRECT EXPENSES		NFN	MoM - Federal	NFN Performance Incentive	Total Expenses	
7100	ADMINISTRATIVE & GENERAL		\$ 33,814	\$ 45,833	\$ -	\$ 79,647
	All Other A&G		\$ 33,814	\$ 45,833		\$ 79,647
<b>TOTAL INDIRECT EXPENSES</b>			<b>\$ 33,814</b>	<b>\$ 45,833</b>	<b>\$ -</b>	<b>\$ 79,647</b>
<b>TOTAL EXPENSES</b>			<b>\$ 202,884</b>	<b>\$ 275,000</b>	<b>\$ -</b>	<b>\$ 477,884</b>
INCOME/EXPENSE SUMMARY		NFN	MoM - Federal	NFN Performance Incentive	Total	
TOTAL INCOME			\$ 202,884	\$ 275,000	\$ 4,058	\$ 481,942
TOTAL EXPENSES			\$ 202,884	\$ 275,000	\$ -	\$ 477,884
EXCESS/SHORTAGE			\$ -	\$ -	\$ 4,058	\$ 4,058

2. Budget Variance.

- a. UCHC will not participate in the incentive program by receiving funds allocated for said program. UCHC may transfer funds from one category to another (except for equipment, personnel and fringe) in the agreed upon and approved budget included in this contract for a single component without prior notification of the OEC under the following conditions:

- i. **Funds cannot be transferred between the MoM Program and the NFN Program.**
  - ii. The amount by which a single category may be increased may not exceed **20% of the approved amount or \$5,000.00**, whichever is greater. This applies only to category amounts in the formally approved budget subsequently approved budget revisions.
  - iii. UCHC may vary an individual salary or wage by no more than **15%** of the approved amount;
  - iv. Budget flexibility is to be applied to each component separately and is not to be computed on the composite budget items.
  - v. The number of people or the percentage of time charged to a job classification may be increased, provided this does not exceed the flexibility cited above.
  - vi. UCHC may not make any transfer under this procedure that involves any of the categories or kinds of expenditures specifically listed below.
  - vii. All such transfers shall be reflected on the next submitted financial report.
- b. The OEC requires the following changes in approved Program budgets to have prior written OEC approval by a formal budget revision and/or formal contract amendment:
    - i. Unused funds allocated to Salary and/or Fringe. Such unused funds that OEC does not allow to be transferred must be returned to OEC by July 31, 2019.
    - ii. The purchase of an item of equipment not approved in the original budget.
    - iii. A transfer that involves an increase of an approved category amount by more than **20%** or **\$5,000.00**, whichever is greater.
    - iv. A transfer which involves an increase in salary or wages by more than 15%.
    - v. Any increase in compensation for services under a third party contract.
    - vi. Any transfers of funds from one component to another.
    - vii. Any transfer of budgeted Program income or food reimbursement.
  - c. The OEC shall respond to a properly executed request within 45 days of receipt.
  - d. No budget revisions proposed by UCHC may be submitted later than 45 calendar days before the contract period has ended, except that the OEC may entertain, at any time, a budget revision for the purpose of increasing funds solely for the audit of the Program. The final financial report shall show all category overruns. Costs incurred after the end of the budget period shall be disallowed except those which the OEC has expressly approved in writing and in advance.

## **B. Payment Provisions.**

### **1. General Payment Provisions.**

- a. Funds shall be released based on timely submission by UCHC of programmatic and financial reports; the availability of funds; and UCHC's compliance with the terms of the contract.
- b. Payments for the NFN Basic Services and MoM services shall be made on the following schedule:
  - i. The initial payment shall be made upon execution of the contract by both parties; and
  - ii. Subsequent payments shall be made on a calendar quarterly basis.
- c. When the OEC's review of any financial report or on-site examination of UCHC's financial records indicate that underexpenditures or underutilization of contract funds is likely to occur by



the end of the contract period, the OEC may, with written advance notice to UCHC, alter the payment schedule for the balance of the contract period.

## 2. NFN Program Payments.

- a. The OEC agrees to pay for the services provided and as described under this contract up to a maximum amount not to exceed **\$206,942.00** for Basic Services delivered and Outcomes achieved.
- b. **Basic Services Payments.** The OEC will make payments up to a maximum amount of **\$202,884.00** for Basic Services delivered during the Eligibility Period.
- c. **Outcome Payments.**
  - i. The OEC will make payments up to a maximum amount of **\$4,058.00** for Outcomes achieved during the Incentive Payment Tracking Period.
  - ii. UCHC shall submit ECIS Rate Card Billing Report separate from the Basic Services Payments in a format directed by OEC, on the following schedule:

Reporting Period	Payment requests Due on or before
July 1, 2018 – September 30, 2018	October 31, 2018
October 1, 2018 – December 31,	January 31, 2019
January 1, 2019 – March 31, 2019	April 30, 2019
April 1, 2019 – May 31, 2019	June 14, 2019

- iii. Such outcome payment invoices shall be submitted with ECIS backup information for all successful Full-Term Birth Outcomes, Safe Children Outcomes, Caregiver Employment Outcomes, and Parent-Child Wellness Outcomes as entered into ECIS and approved by OEC in the amounts outlined below:

Outcome Type	High-Risk Family Payment Value	Low-Risk Family Payment Value
Full-Term Birth Outcome	\$120	\$90
Safe Children Outcome	\$20	\$15
Caregiver Employment Outcome	\$40	\$30
Parent-Child Wellness Outcome	\$120	\$90

- iv. **Outcome Payment Measurement.**
  - (a) Each Family will only be counted for payment a maximum of one time for the Full-Term Birth Outcome and Parent-Child Wellness Outcome.
  - (b) Each Family may be counted payments once per reporting period for the Safe Children Outcome.
  - (c) Each enrolled Caregiver may be counted for payment once per reporting period for the Caregiver Employment Outcome.

## 3. MoM Program Payments.

- a. The OEC agrees to pay for MoM Program services provided and as described under this contract up to a maximum amount not to exceed **\$275,000.00**.
- b. OEC shall transfer to UCHC Federal Child Abuse Prevention and Treatment Act, 42 USC §5016 (CAPTA) funding to continue implementation of the Mind over Mood Program.

c. **Federal Requirements.**

- i. The Contractor's DUNS number is 02-225-4226.
- ii. Federal funding has been provided for this contract as follows:
  - CFDA (Catalog of Federal Domestic Assistance) Title: Community-Based Child Abuse Prevention Grants
  - CFDA Number: 93.590
  - Award Name: Community-Based Child Abuse Prevention Grants
  - Award Year: 2018
  - Research and Design: No
  - Name of Federal Agency Awarding: U.S. Department of Health and Human Services, Administration for Children and Families
- iii. In addition to the Federal Funds provisions of Part II of this contract, the Contractor shall adhere to the Federal requirements specific to the funding allocated to this contract as set forth in Appendix A attached hereto and made a part of this contract. Further guidance is available in the HHS Grants Policy Statement located at <http://www.hhs.gov/asfr/ogapa/aboutog/hhsgps107.pdf>.
- iv. The Contractor shall not seek reimbursement from the Federal Government for any of the services offered by the Program.
- v. **Federal Office of Management and Budget Requirements.**
  - (a) This contract includes Federal Financial Assistance, and therefore such funds shall be subject to the Federal Office of Management and Budget Cost Principles codified in the OMB Super Circular as set forth in 2.CFR Part 200 and as updated from time to time.
  - (b) Federal funding shall be released by the OEC contingent upon receipt of federal monies by the OEC in compliance with the Federal Cash Management Improvement Act (CMIA), 31 U.S.C. § 6501 et. seq. of (1990).
- vi. **Federal Funding Accountability and Transparency Act (FFATA):**
  - (a) The Contractor shall register with the Federal System for Award Management (SAM) at <https://www.sam.gov> to assist the OEC with meeting its obligation to comply with the Federal Funding Accountability and Transparency Act (FFATA).
  - (b) The Contractor shall ensure that it shall remain active in SAM by updating its SAM profile at least every 12 months. Upon notification by the OEC that its SAM status is not active, the Contractor shall update its SAM profile within five business days of such notification. The Contractor's failure to comply may impact future issuance of payments by the OEC.
- vii. **Trafficking Victims Protection Act of 2000.**
  - (a) Pursuant to Section 106(g) of the Trafficking Victims Protection Act of 2000 as amended, the OEC shall terminate this contract immediately and report such termination to HRSA if it determines that the any of the employees or volunteers of the Contractor, or any of its subcontractors or vendors, has performed any of the following actions:
    - (1) Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
    - (2) Procure a commercial sex act during the period of time that the award is in effect; or
    - (3) Use forced labor in the performance of the services under this contract.
  - (b) Guidance on this act is available at <http://www.hrsa.gov/grants/trafficking.htm>