

AMENDMENT

It is agreed by and between the State of Vermont, Department of Vermont Health Access (hereafter called the "State") and Archetype Consulting, Inc. (hereafter called the "Contractor") that the contract on the subject of personal services for Business Intelligence and Reporting related to the State's on-line health insurance exchange, effective January 3, 2015, is hereby amended effective October 1, 2015, as follows:

1. By deleting Section 1 (Parties) on page 1 of 48 of the base agreement, and substituting in lieu thereof the following Section 1:

1. Parties. This is a contract for personal services between the State of Vermont, Department of Vermont Health Access (hereafter called "State"), and Archetype Consulting, Inc., with a principal place of business at 180 Canal Street #600, Boston, MA 02114 (hereafter called "Contractor"). The Contractor's form of business organization is incorporation. It is the Contractor's responsibility to contact the Vermont Department of Taxes to determine if, by law, the Contractor is required to have a Vermont Department of Taxes Business Account Number.

2. By deleting Section 3 (Maximum Amount) on page 1 of 48 of the base agreement, and substituting in lieu thereof the following Section 3:

3. Maximum Amount. In consideration of the services to be performed by Contract, the State agrees to pay Contractor, in accordance with the payment provisions specified in Attachment B, a sum not to exceed \$3,402,159.

3. By deleting Section 4 (Contract Term) on page 1 of 48 of the base agreement, and substituting in lieu thereof the following Section 4:

4. Contract Term. The period of Contractor's performance shall begin on January 3, 2015 ("Effective Date"), and end on April 30, 2016.

4. By adding Section 9 (Contacts for this Award) to page 2 of 48:

NOTICES TO THE PARTIES UNDER THIS AGREEMENT

To the extent notices are made under this agreement, the parties agree that such notices shall only be effective if sent to the following persons as representative of the parties:

	STATE REPRESENTATIVE	CONTRACTOR
Name	Office of General Counsel	Jason Webster
Address	312 Hurricane Lane, Suite 201 Williston, VT 05495	180 Canal Street Boston, MA 02114
Email	Howard.Pallotta@vermont.gov	jwebster@archetypeconsulting.com

The parties agree that notices may be sent by electronic mail except for the following notices which must be sent by United States Postal Service certified mail: termination of contract, contract actions, damage claims, breach notifications, alteration of this paragraph.

DVHA MONITORING OF CONTRACT

The parties agree that the DVHA official State Program Manager is primarily responsible for authorizing work under this agreement and the review and approval of invoices presented by the Contractor. The State Program Manager is Cassandra Gekas: Cassandra.Gekas@vermont.gov or designee. The State Fiscal Manager is primarily responsible for receiving invoices from the Contractor and processing the invoices for payment upon approval by the State Program Manager. The State Fiscal Manager is Meaghan Kelley: Meaghan.Kelley@vermont.gov.

5. By deleting in Attachment A, Section 1 (Detailed Description of Products and Services), beginning on page 3 of 48 of the base agreement, and substituting in lieu of the following:

i. DETAILED DESCRIPTION OF PRODUCTS AND SERVICES:

- A) New Development Activities - Contractor shall perform the following, as further detailed in Section II "Work products/Deliverables," below:
- i. Internal Revenue Service (IRS) Reporting: Complete Monthly Report updates, Annual Report, and support the 1095A Notice and correction process
 - ii. Centers for Medicare and Medicaid Services (CMS) Reporting: Comply with Federal Reporting mandates from CMS which include annual enrollment report and updates to Weekly, Monthly, and Quarterly reports
 - iii. Provide Financial Reporting
 - iv. Create & Update Operational Dashboards
 - v. Provide Carrier Reconciliation Reporting
 - vi. Provide CoC Reporting
 - vii. Provide Renewals Reporting
 - viii. Provide Internal Revenue Service (IRS) Reporting: Develop the Annual Report and support the 1094B and 1095B Notices process.
 - ix. Provide Medicaid Reconciliation Reporting
 - x. Provide QHP Reconciliation Reporting
- B) Maintenance and Operations (M&O) – Contractor shall provide ongoing application support for OBIEE (Oracle Business Intelligence Enterprise Edition) and ODI (Oracle Data Integrator) as follows:
- i. M&O Defects:
 - ii. Troubleshoot defects that result from user changes or system changes made in Siebel, OPA (Oracle Rules Engine), Archetype-built portions of the Data Warehouse, WebCenter, etc.
 - iii. OBIEE Deployments to maintain report stability

- iv. End User Support: Support daily State activities including report development, data validation, and subject matter experts on use of data to answer business decisions

6. By deleting in Attachment A, Section B (Work Products/Deliverables), beginning on page 3 of 48 of the base agreement, and substituting in lieu thereof the following:

ii. WORK PRODUCTS/DELIVERABLES

- A) Interim Renewals Reporting – Contractor shall provide end of year VHC enrollment numbers for 2015, together with detailed reporting and analysis, as required by the State.
- B) Financial Reporting – contractor shall provide financial reporting for the 2015 covered year;
 - i. AR Report – run first of each month
 - ii. 820 QHP reporting – weekly report in OBIEE to monitor remittance amounts
 - iii. Benaissance “All Data” reporting – a nightly database backup file from Benaissance with all VT HIX information to run ad-hoc report requests
- C) IRS Reporting for 2014 Coverage Year– Pursuant to a separate contract with the State, contractor is developing Federally mandated monthly and annual reporting. Monthly submissions and updates will continue through December 31, 2015 as necessary and Contractor shall submit the annual 1095A report on behalf of the State in January 2015. The Contractor will create and deliver the XML files in accordance with IRS specifications on or before January 31, 2015.
 - i. On or before 1/31/2015 – Annual IRS report complete, and approved by the IRS based on IRS testing guidelines following submission.
 - ii. Contractor shall perform ongoing correction and process updating throughout 2015.
- D) IRS Reporting for 2015 Coverage Year– The Contractor is developing Federally mandated monthly and annual reporting.
 - i. Contractor shall submit the annual 1095A report on behalf of the State in January 2016. The Contractor will create and deliver the XML files in accordance with IRS specifications on or before January 31, 2016.
 - ii. On or before 1/31/2016 – Annual IRS 1095A report complete, and approved by the IRS based on IRS testing guidelines following submission.
 - iii. The Contractor shall submit the annual 1094B/1095B report on behalf of the State of Vermont. The Contractor will create and electronically deliver the XML files in accordance with IRS Specifications on or before June 30, 2016
 - iv. The 1095B notice creation and bursting will be handled by State of Vermont assigned SI Vendor. The Contractor shall create and deliver the data for the 1095B notices on or before March 18, 2016 to allow for the notices to be reviewed and printed by March 31, 2016.

- v. The Contractor agrees that the State shall define reporting requirements for 1095B, make policy decisions, and direct the development of the Contractor's team. The Contractor shall seek State approval and signoff on 1095B reports and electronic data prior to submission to the State and subsequent submission to the IRS.
- E) Change of Circumstance Reporting Functionality Contractor shall continue to provide key operational reports to support the day to day needs of the business, including automated change of circumstance reporting, PDSR processing, and 834 errors. The contract will support the development of additional control reports as needed to help the State measure quality and data integrity.
- F) Fully Integrated Renewal Reporting – In anticipation of automated renewal functionality during Open Enrollment for 2016 coverage, Contractor shall re-design the current renewal functionality to align with new data model updates and triggers.
- i. No later than 11/30/2016 Contractor shall deliver Full Renewal Reporting based on updated OneGate versions and functionality.
- G) Ad-hoc reporting requests – State and VHC leadership and functional teams are likely to require numerous ad hoc reports to support issue investigation, outreach, operational decision-making and other needs. The Contractor will continue to provide such reports as prioritized by the State, up to the maximum payment amount allowed under this contract. All ad-hoc requests shall be directed by the State in writing through Cassandra Gekas: Cassandra.Gekas@vermont.gov or designee. The Contractor shall not perform ad-hoc work that has been requested by any person other than Cassandra Gekas, unless the State has designated an alternative contact in writing. It is expected that approximately 20% of the Contractor's time will be spent on ad-hoc activities, but that is subject to State prioritization.
- H) Maintenance – Archetype will maintain Oracle Data Integrator interfaces and troubleshoot and fix any issues due to data structure changes in the source systems, or unexpected data which cause the interfaces to fail. Additional maintenance of the data warehouse and existing reports in Oracle Business Intelligence Enterprise Edition will be performed if issues or performance impacts occur.
- The maintenance of the OLAP server and tools are not considered in scope for this contract. Upgrades to Oracle Data Integrator, Oracle Business Intelligence Enterprise Edition, and the reporting server are not considered in scope.
- I) Medicaid Reconciliation – Contractor shall develop a new reporting function for the State to conduct Medicaid Reconciliation activities.
- i. Contractor shall provide new Medicaid Reconciliation reporting to the State no later than 03/31/2016

- ii. Contractor shall integrate the Medicaid source-system (ACCESS) data-extracts into the VHC Production Data Warehouse for use in the Medicaid Reconciliation project.
- J) QHP Reconciliation – Contractor shall develop a new reporting function for the State to conduct QHP Reconciliation activities.
 - i. Contractor shall continue to provide new QHP Reconciliation reporting to the State for the 2015 plan year for the calendar year 2016, as requested.
 - ii. Contract shall provide QHP Reconciliation reporting to the State for the 2016 plan year for the calendar year 2016, as requested.

7. By deleting, Section IV.E (Key Project Staff) within Attachment A on page 7 of 48 of the base agreement, and substituting in lieu thereof the following:

1. Contractor shall assign the following “Key Project Staff,” to meet the requirements of this Contract at a minimum of 40 hours per week in the roles listed below as full time and “as needed” will be determined collaboratively by the State and the Contractor.

Role	Full Time
Engagement Manager	Variable
Solutions Architect	Variable
Functional Lead	X
ETL Developer Lead	X
ETL Developer 1	X
Report Developer 1	X
Report Developer 2	X
Senior Data and Business Analyst	X
ETL Developer 2	X
1095B & Medicaid Reconciliation Technical Lead	X
Developer (1095B & Medicaid Reconciliation)	X
Reporting Developer (1095B & Medicaid Reconciliation)	X
ETL Developer (1095B & Medicaid Reconciliation)	X

8. By deleting, Section VI (Subcontractor Requirements) of Attachment A on page 8 of 48 of the base agreement and substituting in lieu thereof the following:

VI. SUBCONTRACTOR REQUIREMENTS

Pursuant to Section 15 of Attachment C to this Contract, if the Contractor chooses to subcontract work under this Contract, the Contractor must first fill out and submit the Request for Approval to Subcontract Form (Exhibit 3) in order to seek approval from the State prior to signing an agreement with a third party. Upon receipt of the Request for Approval to Subcontract Form, the State shall review and respond within five (5)

business days. Under no circumstance shall the Contractor enter into a sub-agreement without prior authorization from the State. The Contractor shall submit the Request for Approval to Subcontract Form to:

Meaghan Kelley: Meaghan.Kelley@vermont.gov

Should the status of any third party or Subrecipient change, the Contractor is responsible for updating the State within fourteen (14) days of said change.

9. By deleting, Section VII (Contacts) of Attachment A on page 9 of 48 of the base agreement, and substituting in lieu thereof the following:

VII. CONTACTS

The contacts for this contract are as follows:

	<u>State Fiscal Manager</u>	<u>State Program Manager</u>
Name:	Meaghan Kelley	Cassandra Gekas
Phone #:	802-871-3302	802-585-6354
E-mail:	Meaghan.Kelley@vermont.gov	Cassandra.Gekas@vermont.gov
	<u>For the Contractor</u>	
Name:	Gordon Strodel	
Phone #:	603-520-6952	
E-mail:	gstrodel@archetypeconsulting.com	

10. By deleting Attachment B beginning on page 12 of 48 of the base agreement and substituting in lieu thereof the following:

**ATTACHMENT B
PAYMENT PROVISIONS**

The maximum dollar amount payable under this agreement is not intended as any form of a guaranteed amount. The Contractor will be paid for products or services actually performed as specified in Attachment A up to the maximum allowable amount specified in this agreement. State of Vermont payment terms are Net 30 days from date of invoice, payments against this contract will comply with the State's payment terms. The payment schedule for delivered products, or rates for services performed, and any additional reimbursements, are included in this attachment. The following provisions specifying payments are:

1. Contractor invoices shall be submitted no more frequently than monthly, but no later than quarterly, and shall include the number of hours worked during the specified billing by period and the total amount billed. The State shall pay the Contractor at the blended hourly rate of \$185.00 USD per hour for time, materials, and travel expenses not to exceed \$3,402,159 payable after receipt and approval of invoice detailing time worked

and services provided.

2. No benefits or insurance will be reimbursed by the State.
3. Invoices shall reference this contract number, include date of submission, invoice number, period of performance, number of hours worked, amount billed for each project and total amount billed. Invoices shall be submitted electronically to:

Meaghan Kelley: Meaghan.Kelley@vermont.gov

4. The Contractor is responsible for holding receipts and documentation on file for all contract expenditures and shall make documentation available upon request by the State in accordance with Attachment C to this Contract.
5. Services performed between January 3, 2015 and the start of this contract that are in conformity with Attachment A can be billed under this contract.
6. The total maximum amount payable under this contract for hourly billing and travel expenses shall not exceed \$3,402,159.

7. LIQUIDATED DAMAGES

The parties agree that liquidated damages may be assessed for the failure of the contractor to meet the obligations in Attachment A, Section 6, ROMAN NUMERAL II, (D) (i), (D) ii, (D) iii, and (D) iv. Liquidated damages may be assessed in the amount of \$400.00 per day.

In the event such damages are assessed, the contractor will be given written notice of the contractor's failure to meet such obligations, including the reasoning for such assessment, and the contractor will be given an opportunity to respond, before the state assesses such liquidated damages.

8. The following chart depicts the budget among the projects as specified within Attachment A:

Project	Budget	Period of Performance
1095A (2016 Submission for 2015 Coverage) Scope Items: Section II, D (i, ii)	\$99,900	January 1, 2016 – January 31, 2016
1095B (2016 Submission for 2015 Coverage) Scope Items: Section II, D (iii, iv, v)	\$519,816	October 1, 2015 – April 30, 2016
Medicaid Reconciliation Scope Items: Section II, I	\$59,136	October 1, 2015 – April 30, 2016
Continued Staffing for Base Agreement in 2015 Same Scope as 2015 Base Agreement	\$152,000	October 11, 2015 – December 31, 2015

2015 Scope Work from Base Agreement * Scope Items: Section II, A,B,C,E,F,G,H	\$2,571,307	January 3, 2015 – December 31, 2015
Total Budget	\$3,402,159	

*note: Base agreement was submitted at a blended rate of \$165 from January 3, 2015 to October 10, 2015.

11. By deleting Attachment C (Standard State Provisions for Contracts) dated 9/3/14 on page 13 of 48 of the base agreement, and substituting in lieu thereof the Attachment C beginning on page 9 of 21 of this Amendment 1.

12. By deleting Attachment E (Business Associate Agreement) on page 36 of 48 of the base agreement, and substituting in lieu thereof the following Attachment E beginning on page 14 of 21 of this Amendment 1.

This amendment consists of 21 pages. Except as modified by this amendment and any previous amendments, all provisions of this contract, (#28363) dated January 3, 2015 shall remain unchanged and in full force and effect.

STATE OF VERMONT

DEPARTMENT OF VERMONT HEALTH ACCESS

CONTRACTOR

ARCHETYPE CONSULTING, INC.

STEVEN COSTANTINO, COMMISSIONER
312 Hurricane Lane, Suite 201
Williston, VT 05495-2087
Phone: 802-879-5901
Email: Steven.Costantino@vermont.gov

DATE JASON WEBSTER, PRESIDENT DATE
180 Canal Street #600
Boston, MA 02116
Phone: 617-967-2669
Email: JWebster@archetypeconsulting.com

ATTACHMENT C: STANDARD STATE PROVISIONS FOR CONTRACTS AND GRANTS

1. **Entire Agreement:** This Agreement, whether in the form of a Contract, State Funded Grant, or Federally Funded Grant, represents the entire agreement between the parties on the subject matter. All prior agreements, representations, statements, negotiations, and understandings shall have no effect.
2. **Applicable Law:** This Agreement will be governed by the laws of the State of Vermont.
3. **Definitions:** For purposes of this Attachment, "Party" shall mean the Contractor, Grantee or Subrecipient, with whom the State of Vermont is executing this Agreement and consistent with the form of the Agreement.
4. **Appropriations:** If this Agreement extends into more than one fiscal year of the State (July 1 to June 30), and if appropriations are insufficient to support this Agreement, the State may cancel at the end of the fiscal year, or otherwise upon the expiration of existing appropriation authority. In the case that this Agreement is a Grant that is funded in whole or in part by federal funds, and in the event federal funds become unavailable or reduced, the State may suspend or cancel this Grant immediately, and the State shall have no obligation to pay Subrecipient from State revenues.
5. **No Employee Benefits For Party:** The Party understands that the State will not provide any individual retirement benefits, group life insurance, group health and dental insurance, vacation or sick leave, workers compensation or other benefits or services available to State employees, nor will the state withhold any state or federal taxes except as required under applicable tax laws, which shall be determined in advance of execution of the Agreement. The Party understands that all tax returns required by the Internal Revenue Code and the State of Vermont, including but not limited to income, withholding, sales and use, and rooms and meals, must be filed by the Party, and information as to Agreement income will be provided by the State of Vermont to the Internal Revenue Service and the Vermont Department of Taxes.
6. **Independence, Liability:** The Party will act in an independent capacity and not as officers or employees of the State.

The Party shall defend the State and its officers and employees against all claims or suits arising in whole or in part from any act or omission of the Party or of any agent of the Party. The State shall notify the Party in the event of any such claim or suit, and the Party shall immediately retain counsel and otherwise provide a complete defense against the entire claim or suit.

After a final judgment or settlement the Party may request recoupment of specific defense costs and may file suit in Washington Superior Court requesting recoupment. The Party shall be entitled to recoup costs only upon a showing that such costs were entirely unrelated to the defense of any claim arising from an act or omission of the Party.

The Party shall indemnify the State and its officers and employees in the event that the State, its officers or employees become legally obligated to pay any damages or losses arising from any act or omission of the Party.

7. **Insurance:** Before commencing work on this Agreement the Party must provide certificates of insurance to show that the following minimum coverages are in effect. It is the responsibility of the Party to maintain current certificates of insurance on file with the state through the term of the Agreement. No warranty is made that the coverages and limits listed herein are adequate to cover and protect the interests of the Party for the Party's operations. These are solely minimums that have been established to protect the interests of the State.

Workers Compensation: With respect to all operations performed, the Party shall carry workers' compensation insurance in accordance with the laws of the State of Vermont.

General Liability and Property Damage: With respect to all operations performed under the contract, the Party shall carry general liability insurance having all major divisions of coverage including, but not limited to:

Premises - Operations
Products and Completed Operations
Personal Injury Liability
Contractual Liability

The policy shall be on an occurrence form and limits shall not be less than:

\$1,000,000 Per Occurrence
\$1,000,000 General Aggregate
\$1,000,000 Products/Completed Operations Aggregate
\$ 50,000 Fire/ Legal/Liability

Party shall name the State of Vermont and its officers and employees as additional insureds for liability arising out of this Agreement.

Automotive Liability: The Party shall carry automotive liability insurance covering all motor vehicles, including hired and non-owned coverage, used in connection with the Agreement. Limits of coverage shall not be less than: \$1,000,000 combined single limit.

Party shall name the State of Vermont and its officers and employees as additional insureds for liability arising out of this Agreement.

Professional Liability: Before commencing work on this Agreement and throughout the term of this Agreement, the Party shall procure and maintain professional liability insurance for any and all services performed under this Agreement, with minimum coverage of **\$3,000,000** per occurrence, and **\$5,000,000** aggregate.

8. **Reliance by the State on Representations:** All payments by the State under this Agreement will be made in reliance upon the accuracy of all prior representations by the Party, including but not limited to bills, invoices, progress reports and other proofs of work.
9. **Requirement to Have a Single Audit:** In the case that this Agreement is a Grant that is funded in whole or in part by federal funds, the Subrecipient will complete the Subrecipient Annual Report annually within 45 days after its fiscal year end, informing the State of Vermont whether or not a Single Audit is required for the prior fiscal year. If a Single Audit is required, the Subrecipient will submit a copy of the audit report to the granting Party

within 9 months. If a single audit is not required, only the Subrecipient Annual Report is required.

For fiscal years ending before December 25, 2015, a Single Audit is required if the subrecipient expends \$500,000 or more in federal assistance during its fiscal year and must be conducted in accordance with OMB Circular A-133. For fiscal years ending on or after December 25, 2015, a Single Audit is required if the subrecipient expends \$750,000 or more in federal assistance during its fiscal year and must be conducted in accordance with 2 CFR Chapter I, Chapter II, Part 200, Subpart F. The Subrecipient Annual Report is required to be submitted within 45 days, whether or not a Single Audit is required.

10. Records Available for Audit: The Party shall maintain all records pertaining to performance under this agreement. "Records" means any written or recorded information, regardless of physical form or characteristics, which is produced or acquired by the Party in the performance of this agreement. Records produced or acquired in a machine readable electronic format shall be maintained in that format. The records described shall be made available at reasonable times during the period of the Agreement and for three years thereafter or for any period required by law for inspection by any authorized representatives of the State or Federal Government. If any litigation, claim, or audit is started before the expiration of the three year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.

11. Fair Employment Practices and Americans with Disabilities Act: Party agrees to comply with the requirement of Title 21V.S.A. Chapter 5, Subchapter 6, relating to fair employment practices, to the full extent applicable. Party shall also ensure, to the full extent required by the Americans with Disabilities Act of 1990, as amended, that qualified individuals with disabilities receive equitable access to the services, programs, and activities provided by the Party under this Agreement. Party further agrees to include this provision in all subcontracts.

12. Set Off: The State may set off any sums which the Party owes the State against any sums due the Party under this Agreement; provided, however, that any set off of amounts due the State of Vermont as taxes shall be in accordance with the procedures more specifically provided hereinafter.

13. Taxes Due to the State:

- a. Party understands and acknowledges responsibility, if applicable, for compliance with State tax laws, including income tax withholding for employees performing services within the State, payment of use tax on property used within the State, corporate and/or personal income tax on income earned within the State.
- b. Party certifies under the pains and penalties of perjury that, as of the date the Agreement is signed, the Party is in good standing with respect to, or in full compliance with, a plan to pay any and all taxes due the State of Vermont.
- c. Party understands that final payment under this Agreement may be withheld if the Commissioner of Taxes determines that the Party is not in good standing with respect

to or in full compliance with a plan to pay any and all taxes due to the State of Vermont.

- d. Party also understands the State may set off taxes (and related penalties, interest and fees) due to the State of Vermont, but only if the Party has failed to make an appeal within the time allowed by law, or an appeal has been taken and finally determined and the Party has no further legal recourse to contest the amounts due.

14. Child Support: (Applicable if the Party is a natural person, not a corporation or partnership.) Party states that, as of the date the Agreement is signed, he/she:

- a. is not under any obligation to pay child support; or
- b. is under such an obligation and is in good standing with respect to that obligation; or
- c. has agreed to a payment plan with the Vermont Office of Child Support Services and is in full compliance with that plan.

Party makes this statement with regard to support owed to any and all children residing in Vermont. In addition, if the Party is a resident of Vermont, Party makes this statement with regard to support owed to any and all children residing in any other state or territory of the United States.

15. Sub-Agreements: Party shall not assign, subcontract or subgrant the performance of this Agreement or any portion thereof to any other Party without the prior written approval of the State. Party also agrees to include in all subcontract or subgrant agreements a tax certification in accordance with paragraph 13 above.

16. No Gifts or Gratuities: Party shall not give title or possession of any thing of substantial value (including property, currency, travel and/or education programs) to any officer or employee of the State during the term of this Agreement.

17. Copies: All written reports prepared under this Agreement will be printed using both sides of the paper.

18. Certification Regarding Debarment: Party certifies under pains and penalties of perjury that, as of the date that this Agreement is signed, neither Party nor Party's principals (officers, directors, owners, or partners) are presently debarred, suspended, proposed for debarment, declared ineligible or excluded from participation in federal programs, or programs supported in whole or in part by federal funds.

Party further certifies under pains and penalties of perjury that, as of the date that this Agreement is signed, Party is not presently debarred, suspended, nor named on the State's debarment list at: <http://bgs.vermont.gov/purchasing/debarment>

19. Certification Regarding Use of State Funds: In the case that Party is an employer and this Agreement is a State Funded Grant in excess of \$1,001, Party certifies that none of these State funds will be used to interfere with or restrain the exercise of Party's employee's rights with respect to unionization.

- 20. Internal Controls:** In the case that this Agreement is an award that is funded in whole or in part by Federal funds, in accordance with 2 CFR Part II, §200.303, the Party must establish and maintain effective internal control over the Federal award to provide reasonable assurance that the Party is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- 21. Mandatory Disclosures:** In the case that this Agreement is an award funded in whole or in part by Federal funds, in accordance with 2CFR Part II, §200.113, Party must disclose, in a timely manner, in writing to the State, all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Failure to make required disclosures may result in the imposition of sanctions which may include disallowance of costs incurred, withholding of payments, termination of the Agreement, suspension/debarment, etc.
- 22. Conflict of Interest:** Party must disclose in writing any potential conflict of interest in accordance with Uniform Guidance §200.112, Bulletin 5 Section X and Bulletin 3.5 Section IV.B.

(End of Standard Provisions, State of Vermont – Attachment C - 9-1-2015_rev)

ATTACHMENT E
BUSINESS ASSOCIATE AGREEMENT

This Business Associate Agreement (“Agreement”) is entered into by and between the State of Vermont Agency of Human Services, operating by and through its Department of Vermont Health Access (“Covered Entity”) and Archetype Consulting, Inc. (“Business Associate”) as of January 3, 2015 (“Effective Date”). This Agreement supplements and is made a part of the contract/grant to which it is attached.

Covered Entity and Business Associate enter into this Agreement to comply with standards promulgated under the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”), including the Standards for the Privacy of Individually Identifiable Health Information, at 45 CFR Parts 160 and 164 (“Privacy Rule”), and the Security Standards, at 45 CFR Parts 160 and 164 (“Security Rule”), as amended by Subtitle D of the Health Information Technology for Economic and Clinical Health Act (HITECH), and any associated federal rules and regulations.

The parties agree as follows:

1. Definitions. All capitalized terms used but not otherwise defined in this Agreement have the meanings set forth in 45 CFR Parts 160 and 164 as amended by HITECH and associated federal rules and regulations.

“Agent” means those person(s) who are agents(s) of the Business Associate, in accordance with the Federal common law of agency, as referenced in 45 CFR § 160.402(c).

“Breach” means the acquisition, access, use or disclosure of protected health information (PHI) which compromises the security or privacy of the PHI, except as excluded in the definition of Breach in 45 CFR § 164.402.

“Business Associate shall have the meaning given in 45 CFR § 160.103.

“Individual” includes a person who qualifies as a personal representative in accordance with 45 CFR § 164.502(g).

“Protected Health Information” or PHI shall have the meaning given in 45 CFR § 160.103, limited to the information created or received by Business Associate from or on behalf of Agency.

“Security Incident” means any known successful or unsuccessful attempt by an authorized or unauthorized individual to inappropriately use, disclose, modify, access, or destroy any information or interference with system operations in an information system.

“Services” includes all work performed by the Business Associate for or on behalf of Covered Entity that requires the use and/or disclosure of protected health information to perform a

business associate function described in 45 CFR § 160.103 under the definition of Business Associate.

“Subcontractor” means a person or organization to whom a Business Associate delegates a function, activity or service, other than in the capacity of a member of the workforce of the Business Associate. For purposes of this Agreement, the term Subcontractor includes Subgrantees.

2. Identification and Disclosure of Privacy and Security Offices. Business Associate and Subcontractors shall provide, within ten (10) days of the execution of this agreement, written notice to the Covered Entity’s contract/grant manager the names and contact information of both the HIPAA Privacy Officer and HIPAA Security Officer. This information must be updated any time either of these contacts changes.

3. Permitted and Required Uses/Disclosures of PHI.

3.1 Except as limited in this Agreement, Business Associate may use or disclose PHI to perform Services, as specified in the underlying grant or contract with Covered Entity. The uses and disclosures of Business Associate are limited to the minimum necessary, to complete the tasks or to provide the services associated with the terms of the underlying agreement. Business Associate shall not use or disclose PHI in any manner that would constitute a violation of the Privacy Rule if used or disclosed by Covered Entity in that manner. Business Associate may not use or disclose PHI other than as permitted or required by this Agreement or as Required by Law.

3.2 Business Associate may make PHI available to its employees who need access to perform Services provided that Business Associate makes such employees aware of the use and disclosure restrictions in this Agreement and binds them to comply with such restrictions. Business Associate may only disclose PHI for the purposes authorized by this Agreement: (a) to its agents and Subcontractors in accordance with Sections 9 and 17 or, (b) as otherwise permitted by Section 3.

3.3 Business Associate shall be directly liable under HIPAA for impermissible uses and disclosures of the PHI it handles on behalf of Covered Entity, and for impermissible uses and disclosures, by Business Associate’s Subcontractor(s), of the PHI that Business Associate handles on behalf of Covered Entity and that it passes on to Subcontractors.

4. Business Activities. Business Associate may use PHI received in its capacity as a Business Associate to Covered Entity if necessary for Business Associate’s proper management and administration or to carry out its legal responsibilities. Business Associate may disclose PHI received in its capacity as Business Associate to Covered Entity for Business Associate’s proper management and administration or to carry out its legal responsibilities if a disclosure is Required by Law or if Business Associate obtains reasonable written assurances via a written

agreement from the person to whom the information is to be disclosed that the PHI shall remain confidential and be used or further disclosed only as Required by Law or for the purpose for which it was disclosed to the person, and the Agreement requires the person or entity to notify Business Associate, within two (2) business days (who in turn will notify Covered Entity within two (2) business days after receiving notice of a Breach as specified in Section 6.1), in writing of any Breach of Unsecured PHI of which it is aware. Uses and disclosures of PHI for the purposes identified in Section 3 must be of the minimum amount of PHI necessary to accomplish such purposes.

5. Safeguards. Business Associate, its Agent(s) and Subcontractor(s) shall implement and use appropriate safeguards to prevent the use or disclosure of PHI other than as provided for by this Agreement. With respect to any PHI that is maintained in or transmitted by electronic media, Business Associate or its Subcontractor(s) shall comply with 45 CFR sections 164.308 (administrative safeguards), 164.310 (physical safeguards), 164.312 (technical safeguards) and 164.316 (policies and procedures and documentation requirements). Business Associate or its Agent(s) and Subcontractor(s) shall identify in writing upon request from Covered Entity all of the safeguards that it uses to prevent impermissible uses or disclosures of PHI.

6. Documenting and Reporting Breaches.

6.1 Business Associate shall report to Covered Entity any Breach of Unsecured PHI, including Breaches reported to it by a Subcontractor, as soon as it (or any of its employees or agents) becomes aware of any such Breach, and in no case later than two (2) business days after it (or any of its employees or agents) becomes aware of the Breach, except when a law enforcement official determines that a notification would impede a criminal investigation or cause damage to national security.

6.2 Business Associate shall provide Covered Entity with the names of the individuals whose Unsecured PHI has been, or is reasonably believed to have been, the subject of the Breach and any other available information that is required to be given to the affected individuals, as set forth in 45 CFR § 164.404(c), and, if requested by Covered Entity, information necessary for Covered Entity to investigate the impermissible use or disclosure. Business Associate shall continue to provide to Covered Entity information concerning the Breach as it becomes available to it. Business Associate shall require its Subcontractor(s) to agree to these same terms and conditions.

6.3 When Business Associate determines that an impermissible acquisition, use or disclosure of PHI by a member of its workforce is not a Breach, as that term is defined in 45 CFR § 164.402, and therefore does not necessitate notice to the impacted individual(s), it shall document its assessment of risk, conducted as set forth in 45 CFR § 402(2). When requested by Covered Entity, Business Associate shall make its risk assessments available to Covered Entity. It shall also provide Covered Entity with 1) the name of the person(s) making the assessment, 2) a brief summary of the facts, and 3) a brief statement of the reasons supporting the determination of low probability that the

PHI had been compromised. When a breach is the responsibility of a member of its Subcontractor's workforce, Business Associate shall either 1) conduct its own risk assessment and draft a summary of the event and assessment or 2) require its Subcontractor to conduct the assessment and draft a summary of the event. In either case, Business Associate shall make these assessments and reports available to Covered Entity.

6.4 Business Associate shall require, by contract, a Subcontractor to report to Business Associate and Covered Entity any Breach of which the Subcontractor becomes aware, no later than two (2) business days after becomes aware of the Breach.

7. Mitigation and Corrective Action. Business Associate shall mitigate, to the extent practicable, any harmful effect that is known to it of an impermissible use or disclosure of PHI, even if the impermissible use or disclosure does not constitute a Breach. Business Associate shall draft and carry out a plan of corrective action to address any incident of impermissible use or disclosure of PHI. If requested by Covered Entity, Business Associate shall make its mitigation and corrective action plans available to Covered Entity. Business Associate shall require a Subcontractor to agree to these same terms and conditions.

8. Providing Notice of Breaches.

8.1 If Covered Entity determines that an impermissible acquisition, access, use or disclosure of PHI for which one of Business Associate's employees or agents was responsible constitutes a Breach as defined in 45 CFR § 164.402, and if requested by Covered Entity, Business Associate shall provide notice to the individual(s) whose PHI has been the subject of the Breach. When requested to provide notice, Business Associate shall consult with Covered Entity about the timeliness, content and method of notice, and shall receive Covered Entity's approval concerning these elements. The cost of notice and related remedies shall be borne by Business Associate.

8.2 If Covered Entity or Business Associate determines that an impermissible acquisition, access, use or disclosure of PHI by a Subcontractor of Business Associate constitutes a Breach as defined in 45 CFR § 164.402, and if requested by Covered Entity or Business Associate, Subcontractor shall provide notice to the individual(s) whose PHI has been the subject of the Breach. When Covered Entity requests that Business Associate or its Subcontractor provide notice, Business Associate shall either 1) consult with Covered Entity about the specifics of the notice as set forth in section 8.1, above, or 2) require, by contract, its Subcontractor to consult with Covered Entity about the specifics of the notice as set forth in section 8.1

8.3 The notice to affected individuals shall be provided as soon as reasonably possible and in no case later than 60 calendar days after Business Associate reported the Breach to Covered Entity.

8.4 The notice to affected individuals shall be written in plain language and shall include, to the extent possible, 1) a brief description of what happened, 2) a description of the types of Unsecured PHI that were involved in the Breach, 3) any steps individuals can take to protect themselves from potential harm resulting from the Breach, 4) a brief description of what the Business Associate is doing to investigate the Breach, to mitigate harm to individuals and to protect against further Breaches, and 5) contact procedures for individuals to ask questions or obtain additional information, as set forth in 45 CFR § 164.404(c).

8.5 Business Associate shall notify individuals of Breaches as specified in 45 CFR § 164.404(d) (methods of individual notice). In addition, when a Breach involves more than 500 residents of Vermont, Business Associate shall, if requested by Covered Entity, notify prominent media outlets serving Vermont, following the requirements set forth in 45 CFR § 164.406.

9. Agreements with Subcontractors. Business Associate shall enter into a Business Associate Agreement with any Subcontractor to whom it provides PHI received from Covered Entity or created or received by Business Associate on behalf of Covered Entity in which the Subcontractor agrees to the same restrictions and conditions that apply through this Agreement to Business Associate with respect to such PHI. Business Associate must enter into this Business Associate Agreement before any use by or disclosure of PHI to such agent. The written agreement must identify Covered Entity as a direct and intended third party beneficiary with the right to enforce any breach of the agreement concerning the use or disclosure of PHI. Business Associate shall provide a copy of the Business Associate Agreement it enters into with a subcontractor to Covered Entity upon request. Business associate may not make any disclosure of PHI to any Subcontractor without prior written consent of Covered Entity.

10. Access to PHI. Business Associate shall provide access to PHI in a Designated Record Set to Covered Entity or as directed by Covered Entity to an Individual to meet the requirements under 45 CFR § 164.524. Business Associate shall provide such access in the time and manner reasonably designated by Covered Entity. Within three (3) business days, Business Associate shall forward to Covered Entity for handling any request for access to PHI that Business Associate directly receives from an Individual.

11. Amendment of PHI. Business Associate shall make any amendments to PHI in a Designated Record Set that Covered Entity directs or agrees to pursuant to 45 CFR § 164.526, whether at the request of Covered Entity or an Individual. Business Associate shall make such amendments in the time and manner reasonably designated by Covered Entity. Within three (3) business days, Business Associate shall forward to Covered Entity for handling any request for amendment to PHI that Business Associate directly receives from an Individual.

12. Accounting of Disclosures. Business Associate shall document disclosures of PHI and all information related to such disclosures as would be required for Covered Entity to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 CFR §

164.528. Business Associate shall provide such information to Covered Entity or as directed by Covered Entity to an Individual, to permit Covered Entity to respond to an accounting request. Business Associate shall provide such information in the time and manner reasonably designated by Covered Entity. Within three (3) business days, Business Associate shall forward to Covered Entity for handling any accounting request that Business Associate directly receives from an Individual.

13. Books and Records. Subject to the attorney-client and other applicable legal privileges, Business Associate shall make its internal practices, books, and records (including policies and procedures and PHI) relating to the use and disclosure of PHI received from Covered Entity or created or received by Business Associate on behalf of Covered Entity available to the Secretary in the time and manner designated by the Secretary. Business Associate shall make the same information available to Covered Entity, upon Covered Entity's request, in the time and manner reasonably designated by Covered Entity so that Covered Entity may determine whether Business Associate is in compliance with this Agreement.

14. Termination.

14.1 This Agreement commences on the Effective Date and shall remain in effect until terminated by Covered Entity or until all of the PHI provided by Covered Entity to Business Associate or created or received by Business Associate on behalf of Covered Entity is destroyed or returned to Covered Entity subject to Section 18.8.

14.2 If Business Associate breaches any material term of this Agreement, Covered Entity may either: (a) provide an opportunity for Business Associate to cure the breach and Covered Entity may terminate the contract or grant without liability or penalty if Business Associate does not cure the breach within the time specified by Covered Entity; or (b) immediately terminate the contract or grant without liability or penalty if Covered Entity believes that cure is not reasonably possible; or (c) if neither termination nor cure are feasible, Covered Entity shall report the breach to the Secretary. Covered Entity has the right to seek to cure any breach by Business Associate and this right, regardless of whether Covered Entity cures such breach, does not lessen any right or remedy available to Covered Entity at law, in equity, or under the contract or grant, nor does it lessen Business Associate's responsibility for such breach or its duty to cure such breach.

15. Return/Destruction of PHI.

15.1 Business Associate in connection with the expiration or termination of the contract or grant shall return or destroy, at the discretion of the Covered Entity, all PHI received from Covered Entity or created or received by Business Associate on behalf of Covered Entity pursuant to this contract or grant that Business Associate still maintains in any form or medium (including electronic) within thirty (30) days after such expiration or termination. Business Associate shall not retain any copies of the PHI. Business Associate shall certify in writing for Covered Entity (1) when all PHI has been returned

or destroyed and (2) that Business Associate does not continue to maintain any PHI. Business Associate is to provide this certification during this thirty (30) day period.

15.2 Business Associate shall provide to Covered Entity notification of any conditions that Business Associate believes make the return or destruction of PHI infeasible. If Covered Entity agrees that return or destruction is infeasible, Business Associate shall extend the protections of this Agreement to such PHI and limit further uses and disclosures of such PHI to those purposes that make the return or destruction infeasible for so long as Business Associate maintains such PHI. This shall also apply to all Agents and Subcontractors of Business Associate.

16. Penalties and Training. Business Associate understands that: (a) there may be civil or criminal penalties for misuse or misappropriation of PHI and (b) violations of this Agreement may result in notification by Covered Entity to law enforcement officials and regulatory, accreditation, and licensure organizations. If requested by Covered Entity, Business Associate shall participate in training regarding the use, confidentiality, and security of PHI.

17. Security Rule Obligations. The following provisions of this section apply to the extent that Business Associate creates, receives, maintains or transmits Electronic PHI on behalf of Covered Entity.

17.1 Business Associate shall implement and use administrative, physical, and technical safeguards in compliance with 45 CFR sections 164.308, 164.310, and 164.312 with respect to the Electronic PHI that it creates, receives, maintains or transmits on behalf of Covered Entity. Business Associate shall identify in writing upon request from Covered Entity all of the safeguards that it uses to protect such Electronic PHI.

17.2 Business Associate shall ensure that any Agent and Subcontractor to whom it provides Electronic PHI agrees in a written agreement to implement and use administrative, physical, and technical safeguards that reasonably and appropriately protect the Confidentiality, Integrity and Availability of the Electronic PHI. Business Associate must enter into this written agreement before any use or disclosure of Electronic PHI by such Agent or Subcontractor. The written agreement must identify Covered Entity as a direct and intended third party beneficiary with the right to enforce any breach of the agreement concerning the use or disclosure of Electronic PHI. Business Associate shall provide a copy of the written agreement to Covered Entity upon request. Business Associate may not make any disclosure of Electronic PHI to any Agent or Subcontractor without the prior written consent of Covered Entity.

17.3 Business Associate shall report in writing to Covered Entity any Security Incident pertaining to such Electronic PHI (whether involving Business Associate or an Agent or Subcontractor). Business Associate shall provide this written report as soon as it becomes aware of any such Security Incident, and in no case later than two (2) business days after it becomes aware of the incident. Business Associate shall provide Covered

Entity with the information necessary for Covered Entity to investigate any such Security Incident.

17.4 Business Associate shall comply with any reasonable policies and procedures Covered Entity implements to obtain compliance under the Security Rule.

18. Miscellaneous.

18.1 In the event of any conflict or inconsistency between the terms of this Agreement and the terms of the contract/grant, the terms of this Agreement shall govern with respect to its subject matter. Otherwise, the terms of the contract/grant continue in effect.

18.2 Business Associate shall cooperate with Covered Entity to amend this Agreement from time to time as is necessary for Covered Entity to comply with the Privacy Rule, the Security Rule, or any other standards promulgated under HIPAA.

18.3 Any ambiguity in this Agreement shall be resolved to permit Covered Entity to comply with the Privacy Rule, Security Rule, or any other standards promulgated under HIPAA.

18.4 In addition to applicable Vermont law, the parties shall rely on applicable federal law (e.g., HIPAA, the Privacy Rule and Security Rule, and the HIPAA omnibus final rule) in construing the meaning and effect of this Agreement.

18.5 As between Business Associate and Covered Entity, Covered Entity owns all PHI provided by Covered Entity to Business Associate or created or received by Business Associate on behalf of Covered Entity.

18.6 Business Associate shall abide by the terms and conditions of this Agreement with respect to all PHI it receives from Covered Entity or creates or receives on behalf of Covered Entity even if some of that information relates to specific services for which Business Associate may not be a "Business Associate" of Covered Entity under the Privacy Rule.

18.7 Business Associate is prohibited from directly or indirectly receiving any remuneration in exchange for an individual's PHI. Business Associate will refrain from marketing activities that would violate HIPAA, including specifically Section 13406 of the HITECH Act. Reports or data containing the PHI may not be sold without Agency's or the affected individual's written consent.

18.8 The provisions of this Agreement that by their terms encompass continuing rights or responsibilities shall survive the expiration or termination of this Agreement. For example: (a) the provisions of this Agreement shall continue to apply if Covered Entity determines that it would be infeasible for Business Associate to return or destroy PHI as provided in Section 14.2 and (b) the obligation of Business Associate to provide an accounting of disclosures as set forth in Section 11 survives the expiration or termination of this Agreement with respect to accounting requests, if any, made after such expiration or termination.