



MILWAUKEE COUNTY
DEPARTMENT OF HEALTH AND HUMAN SERVICES

Disabilities Services Division
CLTS Care Management/Support and Service Coordination

YEAR 2013
REQUEST FOR PROPOSAL
FEE FOR SERVICE GUIDELINES

Issued July 15, 2013
Proposal due 4:00 PM CDT, Friday, August 2, 2013

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DISABILITIES SERVICES DIVISION

SECTION 1:

INTRODUCTION

1. INTRODUCTION

Welcome to the Year 2013 Request for Proposal (RFP) process. The Technical Requirements set forth in these guidelines apply to proposals submitted for funding programs under the Department of Health and Human Services (DHHS) Behavioral Health, Delinquency and Court Services, Disabilities Services, Housing, and Management Services Divisions. The programs for purchase are described in *Program Requirements*, Section 5.

The DHHS RFP process begins with the mailing of an "Interested Parties" letter to all current contractors and interested parties on the DHHS mailing list maintained by Contract Administration, and the publication of media announcements in newspapers and the Milwaukee County Business Opportunity Portal.

Proposals will be accepted **only** for the programs described as accepting proposals in the *Year 2013 Fee for Service Guidelines: Program Requirements*, Section 5. The RFP information is organized into SEVEN (7) separate sections plus appendices. Instructions and forms are included in most sections; forms can also be found on the Contract Administration web page at:

http://county.milwaukee.gov/DHHS_bids

Updates and revisions to this and other RFP related publications will occur through the proposal deadline, and can be viewed at:

<http://www.county.milwaukee.gov/Corrections22671.htm>

This site should be checked frequently, as it is the responsibility of the Proposer to respond to all requirements as they appear in the posted revisions.

ALL PROPOSALS WILL BE REVIEWED AND SCORED AS DESCRIBED IN THE "OVERVIEW OF PROPOSAL REVIEW PROCESS" FOUND IN PART 4 OF THE TECHNICAL REQUIREMENTS unless evaluation criteria is identified with Program Description in Section 5.

DISABILITIES SERVICES DIVISION

SECTION 2:

RFP INFORMATION

2. RFP INFORMATION

This RFP is for service coordination/care management services to children enrolled in the Children's Long Term Support Waiver (CLTS). The intent of this request for proposal is to develop specialized community-based care management and service coordination resource(s) knowledgeable on disabilities (DD, PD) who are able to guide and aid families in the care, support and development of their child with special needs.

The Manager for this RFP is Mr. Dennis Buesing, Contract Administrator.

Address:

Dennis Buesing, Contract Administrator
Milwaukee County Department of Health and Human Services
1220 W Vliet Street, Ste 301
Milwaukee, WI 53205
Tel. 414-289-5853
Fax. 414-289-5874
Email: dennis.buesing@milwcnty.com

INQUIRIES, QUESTIONS AND RFP ADDENDA

Proposers are expected to raise any questions they have concerning the RFP and appendices (if any) during this process. If a Proposer discovers any significant ambiguity, error, conflict, discrepancy, omission, or other deficiency in this RFP, the Proposer must immediately notify the RFP Manager of such error and request modification or clarification of the RFP.

In the event that a Proposer attempts to contact, orally or in writing, any employee or representative of Milwaukee County other than Dennis Buesing or other persons mentioned as contacts in the interested party letter (refer to page iii above) on any matter related to the proposal, the proposer may be disqualified.

If a Proposer discovers an error (which includes ambiguity, mistake, conflict, discrepancy, omission or other deficiency) in this RFP which prejudices the Proposer's ability to respond definitively to the proposal request, or which might prejudice satisfactory performance under a Contract containing the RFP provision(s) in question, the Proposer must immediately notify Dennis Buesing in writing requesting modification or clarification of the proposal request.

No revisions to this proposal request may be made unless in the form of an official addendum issued by Milwaukee County. In the event that it becomes necessary to provide additional clarifying data or information, or to revise any part of this RFP, addenda will be posted to Website:

<http://www.county.milwaukee.gov/Corrections22671.htm>. **Proposers must check the website for posted addenda; they are encouraged to check daily.**

If, prior to the date fixed for the submission of proposals, a Proposer fails to notify Purchaser of an error about which it knew or should have known, and if a Contract is awarded to the Proposer, the Proposer shall not be entitled to additional compensation or time by reason of the error or its later correction.

The provisions of the proposal of the successful Proposer will become contractual obligations. Failure or refusal of the successful Proposer to accept these obligations in a contractual agreement may result in cancellation of the award.

ESTIMATED TIMETABLE FOR RFP

The key RFP dates are outlined in the table below titled "RFP Schedule." In the event that DHHS finds it necessary to change any of the specific dates and times in the calendar of events, it will do so by issuing an addendum to this RFP **which will be posted at: <http://www.county.milwaukee.gov/Corrections22671.htm>**

Proposals are due by **4:00 PM CDT on Friday, August 2, 2013.**

RFP Schedule

RFP Milestones	Completion Dates
RFP issue date	July 15, 2013
Written Proposals due	August 2, 2013; 4:00 PM CDT
Projected Contract Start Date	October 1, 2013

SUBMITTING THE PROPOSAL

All proposals for funding **must be received** by the DHHS **no later than 4:00 p.m. CDT on Friday, August 2, 2013.** Late proposals will be rejected. Proposals for all DHHS divisions must be mailed or delivered to: Milwaukee County DHHS, Contract Administration, 1220 West Vliet Street, Suite 300, Milwaukee WI 53205.

All proposals must be typed using the format and the forms presented in this booklet, or the DHHS website. All pages are to be numbered, with each requested item on a separate page. Proposals do not need to be submitted in binders, however each copy should be secured with a binder clip or other securement (please avoid using rubber bands to secure individual copies). **WITH RARE EXCEPTION, ALL SUBMISSION REQUIREMENTS APPLY TO ALL PROGRAMS.** If there is any question about the applicability of a particular submission item, contact the Technical Requirements contact person (p. iii) affiliated with the Division with which you are applying. In the case an item is determined **not** to be applicable, include a separate page in the appropriate place indicating this is the case and with whom you spoke. If a separate page is **not** included with this information and the item is **not** submitted with the proposal, it will be

considered an omission. Points will be deducted during the proposal scoring process for all omissions, and depending upon which items are missing, the entire proposal may be removed from consideration.

In addition, electronic budgets are to be sent to: dhsca@milwcnty.com by the submittal deadline.

This program is up for competitive, panel review: Submit one original plus **four** copies of the complete proposal on three-hole punched paper.

MODIFICATION OF PROPOSAL

A Proposal is irrevocable until the Contract is awarded, unless the Proposal is withdrawn. Proposers may withdraw a Proposal in writing at any time up to the Proposal due date and time.

To accomplish this, a written request must be signed by an authorized representative of the Proposer and submitted to the RFP Manager. If a previously submitted Proposal is withdrawn before the Proposal due date and time, the Proposer may submit another at any time up to the due date and time.

INCURRING COSTS

Neither Milwaukee County nor its Authorized Representatives are responsible for expenses incurred by a Proposer to develop and submit its Proposal. The Proposer is entirely responsible for any costs incurred during the RFP process, including site visits for discussions, face to face interviews, presentations or negotiations of the Contract.

RENEWAL/DATES OF PERFORMANCE

Contract is estimated to begin on October 1, 2013 and terminate December 31, 2013. DHHS shall have the option of extending any contract for two additional one-year periods under the same terms and conditions, and upon mutual consent of DHHS and the Contractor, for all proposals up for competitive bid in this RFP.

Obligations of DHHS shall cease immediately and without penalty or further payment being required, if in any fiscal year, DHHS, state, or federal funding sources fail to appropriate or otherwise make available adequate funds for any contract resulting from this RFP.

MISCELLANEOUS

The Contractor shall agree that the Contract and RFP shall be interpreted and enforced under the laws and jurisdiction of the State of Wisconsin and will be under Jurisdictions of Milwaukee Courts.

Living Wage: Milwaukee County has a goal that all contractors pay a Living Wage of no less than \$8.58 per hour to all full-time skilled and unskilled workers employed in any work performed as part of a Milwaukee County purchase contract or fee for service agreement. While not a requirement, payment of a living wage will be one of the criteria upon which Proposers shall be evaluated in the review and scoring of proposals.

RFP Document: Proposals submitted by an agency become the property of Milwaukee County at the point of submission. For agencies awarded a contract, the proposal material is placed in an agency master file that becomes part of the contract with DHHS. It will become public information, and will be subject to the open records law only after the procurement process is completed and a contract is fully executed. Prior to the granting of contract awards and the full execution of a contract, the proposal is considered a "draft" and is not subject to the open records law except to the appellant to the award, subject to the proprietary information restriction as detailed below.

For agencies not awarded a contract, proposal material will be handled as detailed in Section 3, 3.6.

PROPRIETARY INFORMATION:

Any restriction on the use of data contained within a request must be clearly stated in the Proposal itself. Proprietary information submitted in response to a request will be handled in accordance with applicable State of Wisconsin procurement regulations and the Wisconsin public records law. Proprietary restrictions normally are not accepted. However, when accepted, it is the proposer's responsibility to defend the determination in the event of an appeal or litigation.

Data contained in a proposal, all documentation provided therein, and innovations developed as a result of the contracted commodities or services cannot be copyrighted or patented. All data, documentation and innovations become the property of Milwaukee County Department of Health and Human Services.

Any materials submitted by the proposer in response to this RFP that the Proposer considers confidential and proprietary information and which qualifies as a trade secret, as provided in s. 19.36(5), Wis. Stats, or material which can be kept confidential under the Wisconsin public record law, must be identified on the Designation of Confidential and Proprietary Information form (*see appendices*). Confidential information must be labeled as such. Costs (pricing) always becomes public information when Proposals are opened, and therefore cannot be kept confidential. Any other requests for confidentiality MUST be justified in writing on the form provided and included in the Proposal submitted.

DISABILITIES SERVICES DIVISION

SECTION 3:

PROPOSAL SELECTION AND AWARD PROCESS

3. PROPOSAL SELECTION AND AWARD PROCESS

3.1 PROPOSAL SCORING AND SELECTION PROCESS

All Proposals will first be reviewed by the RFP Manager and/ or his representative to determine if 1) all “Technical Requirements” have been met; 2) the Proposals contain the required forms properly completed; and 3) submittal requirements are met. In the event that none of the Proposals meet one or more of the specified requirements, the DHHS reserves the right to continue the review and scoring of Proposals and to select the Proposals that most closely meet the requirements specified in this RFP.

Proposals that do not comply with instructions or are unable to comply with specifications contained in this RFP may be rejected by DHHS. DHHS may request reports on a Proposer’s financial stability and if financial stability is not substantiated, Milwaukee DHHS may reject a proposal. DHHS retains the right to accept or reject any or all proposals, or to accept or reject any part of a proposal if it is deemed to be in the best interest of DHHS. DHHS shall be the sole judge as to compliance with the instructions contained in this RFP.

REQUEST FOR PROPOSAL REVIEW AND SCORING:

Accepted Proposals will be reviewed and scored by the respective DHHS Departments. A panel of community experts, consumers and county staff will be composed to verify that the proposals meet all specified requirements. This verification may include requesting reports on the Proposer’s financial stability, conducting demonstrations of Proposer’s proposed products and/or services, and reviewing results of past awards to the Proposer by Milwaukee County or other funders. Accepted Proposals will be reviewed by a Review and Scoring Panel and scored against the stated criteria. **A Proposer may not contact any member of the review panel except at the RFP Manager’s direction.** A Proposer’s unauthorized contact of a panel member shall be grounds for immediate disqualification of the Proposer’s Proposal. The panel may review references, request oral presentations and use the results in scoring the Proposals. However, DHHS reserves the right to make a final selection based solely upon review and scoring of the written Proposals should it find it to be in its best interest to do so.

Proposals are evaluated against the review and scoring criteria as indicated in 3.2. Review Panel scores are presented to division administrator(s), who may, or may not recommend the highest scoring proposal(s), to the Milwaukee County Board of Supervisors, if Board approval is required by state statute.

Any contract with a value of at least \$100,000, but not more than \$300,000, to which the County is a party and which satisfies any other statutory requirements, may take effect only if the County Board’s Finance, Personnel and Audit Committee does not vote to approve or reject the contract within 14 days after the contract is signed or countersigned by the Milwaukee County Executive.

If the Board's Finance Committee votes to reject a contract described above, the contract may take effect only if the contract is approved by a vote of the County Board within 30 days after the Board's Finance Committee votes to reject the contract. Any single contract, or group of contracts between the same parties which generally relate to the same transaction, with a value or aggregate value of more than \$300,000, to which the County is a party and which satisfies any other statutory requirements, may take effect only if it is approved by a vote of the County Board.

The Milwaukee County Board of Supervisors may reject the department's recommendations and ask for an additional review and scoring of proposal(s), or require a reissuance of the RFP for the program(s) being recommended. The County Executive may veto, in part or in whole, the County Board's action.

The review and scoring panel will be the sole determiner of the points to be assigned. The determination whether any proposal by a Proposer does or does not conform to the conditions and specifications of this RFP is the responsibility of the RFP Manager.

The Review Panel has the right to rely on any narrative, supporting materials or clarifications provided by the Proposer. The Review Panel can ask for oral clarification to supplement written proposal, if it will assist review and scoring procedure.

In addition, the division administrator may convene a second panel to hear oral presentations from the highest-scoring proposers, based on the initial review and ranking of the proposals by the Review Panel based on the criteria outlined in the RFP.

The Proposer is responsible for any Proposal inaccuracies, including errors in the budget and any best and final offer (if applicable). The DHHS reserves the right to waive RFP requirements or gain clarification from a Proposer, in the event that it is in the best interest of the DHHS to do so.

The DHHS reserves the right to contact any or all Proposers to request additional information for purposes of clarification of RFP responses.

3.2 REVIEW AND SCORING CRITERIA

Proposals submitted in response to this RFP will be evaluated per the process and criteria detailed in Part 4 of Technical Requirements (**Section 4**).

3.3 RIGHT TO REJECT PROPOSALS

The DHHS reserves the right to reject any and all Proposals. This RFP does not commit the DHHS to award a contract, or contracts.

3.4 NOTICE OF INTENT TO AWARD

All Proposers who respond to this RFP will be notified in writing of the DHHS's intent to award a contract as a result of this RFP. **A Notification of Intent to Award a contract does not constitute an actual award of a contract, nor does it confer any contractual rights or rights to enter into a contract with the DHHS.**

After Notification of the Intent to Award is made, copies of all Proposals will be made available for other proposer's inspection subject to proprietary information exclusion mentioned in **Section 2**. Any such inspection will be conducted under the supervision of DHHS staff. Copies of proposals will be made available for inspection for five working days from the date of issuance of "Notice of Intent to Award" between 8:30 a.m. to 4:00 p.m. at:

Milwaukee County Department of Health and Human Services
Contract Administration
1220 W Vliet Street
Milwaukee, WI 53205

Proposers should schedule inspection reviews with Cleo Stewart, at 414-289-5980 to ensure that space and time is available for the review.

3.5 PROTEST AND APPEALS PROCESS

Only unsuccessful proposer(s) are allowed to file an appeal. Applicants can only protest or appeal a violation of the procedures outlined in these RFP instructions or in the selection process. Subjective interpretations by the reviewers are not subject to protest or appeal. All appeals must be made in writing and must fully identify the procedural issue being contested. On demand by such appellant(s), DHHS may provide the summary score(s) of review and scoring panel, but in no case will the names of panel members be revealed.

A written appeal, fully documenting the basis for the appeal, must be made in writing. The appeal must be as specific as possible and should identify deviations from published criteria in the selection process or the procedures outlined in these RFP instructions that are alleged to have been violated.

The written appeal should be filed with Héctor Colón, Director, Department of Health and Human Services, 1220 W. Vliet St., Suite 301, Milwaukee, WI 53205, and received in his office no later than five (5) working days after the notice of intent to contract or non-funding is post-marked. Late filing of the appeal will invalidate the protest.

The decision of the DHHS Director will be binding. A proposer may challenge the decision of the Director, per the process in Section 110 of the Milwaukee County Code of General Ordinances. DHHS may proceed to contract with the Proposer(s) selected even if an appeal is still pending if it is in the best interest of DHHS to do so.

3.6 TIME PERIOD FOR RETENTION OF UNSUCCESSFUL PROPOSAL AND SCORING:

DHHS will retain all unsuccessful proposals for seven years after the period of appeal has passed. The detailed and summary proposal review scoring sheets will be retained per Milwaukee County retention policy.

DISABILITIES SERVICES DIVISION

SECTION 4:

TECHNICAL REQUIREMENTS

4. TECHNICAL REQUIREMENTS

These requirements are for submitting a proposal to DHHS. The DHHS reserves the right to add terms and conditions to the RFP as necessary.

This section contains mandatory requirements that Proposer(s) are required to provide or agree to at NO cost to DHHS. Proposers who cannot, or will not, meet all of these requirements may be disqualified on the grounds of noncompliance.

CERTIFICATION OF INDEPENDENT PRICE DETERMINATION

By signing and submitting a proposal, the Proposer certifies, and in the case of a joint Proposal, each party thereto certifies as to its own organization, that in connection with this RFP:

The prices in this Proposal have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other Proposer or with any competitor;

Unless otherwise required by law, the prices which have been quoted in this Proposal have not been knowingly disclosed by the Proposer and will not knowingly be disclosed by the Proposer prior to opening in the case of an advertised RFP or prior to award in the case of a negotiated procurement, directly or indirectly to any other Proposer or to any competitor; and

No attempt has been made or will be made by the Proposer to induce any other person or firm to submit or not to submit a Proposal for the purpose of restricting competition.

DEVIATIONS AND EXCEPTIONS

Submission of a proposal shall be deemed as certification of compliance with all terms and conditions outlined in the RFP unless clearly stated otherwise in the attached "Statement of Deviations and Exceptions" (see *Appendices*). The DHHS reserves the right to reject or waive disclosed deviations and exceptions.

Deviations and exceptions from original text, terms, conditions, or specifications shall be described fully, on the attached "Statement of Deviations and Exceptions" (see *Appendices*) and attached to the Cover Letter (*item 2*). In the absence of such statement, the Proposal shall be accepted as in strict compliance with all terms, conditions, and specifications and the Proposers shall be held liable.

**Part 1: AGENCY PROPOSAL
INSTRUCTIONS and FORMS**

2013 FEE FOR SERVICE PROPOSAL CONTENTS – I. INITIAL SUBMISSION

This proposal contents sheet must be attached immediately after the proposal summary sheet (item #1)

<u>Technical Requirements</u>		<u>Proposal</u>	
<u>Item #</u>	<u>Item Description</u>	<u>Check each Item Included</u>	<u>Page # of Proposal</u>

INTRODUCTION

1	Proposal Summary Sheet		
	Proposal Contents		
2	Cover Letter		

Part 1 – AGENCY PROPOSAL

3	Authorization To File		
4	Agency Description and Assurances		
5	Board Of Directors, Owners, Stockholders Demographic Summary		
6	Ownership, Independence, and Governance		
7	Owners/Officers		
8	Mission Statement		
9	Agency Organizational Chart		
10	Agency Licenses and Certificates		
11	Indemnity, Data And Information, and HIPAA Compliance Statement		
13	Related Organization/Related Party Disclosure		
14	Employee Hours-Related Organization Disclosure		
15	Conflict Of Interest & Prohibited Practices Certification		
16	Equal Employment Opportunity Certificate		
17	Equal Opportunity Policy		
18	Audit Fraud Hotline		
19	Certification Statement Regarding Debarment And Suspension		
20	Additional Disclosures		
21	Certification Regarding Compliance With Background Checks – Children & Youth		
22	Certification Regarding Compliance With Background Checks - Caregiver		
23	Promotion of Cultural Competence		
25	Emergency Management Plan		

Part 2 – BUDGET AND OTHER FINANCIAL INFORMATION

26	IRS Form 990 For Non-Profit Agencies		
27	Certified Audit/Board Approved Financial Statement		
28	Electronic versions of: Form 1 (Program Volume Data)		
	Form 2 and 2A		
	Form 2B		
	Form 3 and 3S (Anticipated Program Expenses)		
	Form 4 and 4S (Anticipated Program Revenue)		
	Form 5 and 5A		
	Form 6-6H		

Part 3 –PROGRAM PROPOSAL

Technical Requirements		Proposal	
Item #	Item Description	Check each Item Included	Page # of Proposal
<u>Part 3 –PROGRAM PROPOSAL</u>			
29	Program Organizational Chart		
30a	Program Logic Model		
30b	Program Narrative		
30c	Experience Assessment For Agency		
30d	Experience Assessment For Agency Leadership		
31	Provider Proposal Site Information		
32	Staffing Plan		
33	Staffing Requirements		
34	Current Direct Service Provider and Indirect Staff (DSP) Roster		
35	Accessibility		
37	Client Characteristics Chart		

Part 4 - OVERVIEW OF PROPOSAL REVIEW PROCESS, PROPOSAL REVIEW AND SCORING CRITERIA

Overview Of Proposal Review Process
Proposal Review and Scoring Criteria

Agency attests that all items and documents checked are complete and included in the proposal packet.

Authorized Signature: _____ Date: _____

Printed Name: _____ Title: _____

Agency: _____

II. FINAL SUBMISSION

After completion of the proposal review and upon receiving notice of a contract award, funded agencies are required to submit the following proposal items (if nothing has changed from initial submission, re-date and resubmit):

Item #	Item Description
1	Proposal Summary Sheet
12	Insurance Certificate
28	Budget Forms 1, 2, 2A, 2B, 3, 3S, 4, 4S, 5, 5A, and 6-6H
34	Current Direct Service Provider and Indirect Staff (DSP) Roster

Final submissions are due by 4:30 p.m., September 27, 2013, and must be mailed or delivered to:

Milwaukee County DHHS
Contract Administration
1220 West Vliet Street, Suite 300
Milwaukee WI 53205

Final budget spreadsheet should be emailed to: dhsca@milwcnty.com

V. DEPARTMENT OF HEALTH AND HUMAN SERVICES QUALITY ASSURANCE

Quality assurance activities help to ensure the appropriate expenditures of public funds and the provision of quality services. Quality assurance activities may include, but are not limited to:

- Review of evaluation reports submitted by the agency.
- Sampling of clients/participants served through participant interviews, client interviews, surveys/questionnaires, case file reviews, and/or service verification.
- On-site verification of compliance with the posting of the following documents: (a) participant/client rights, (b) non-discrimination policies.
- On-site monitoring of compliance with governmental and contractual requirements related to the provision of services.
- On-site monitoring of a contractor's organization and management structure, fiscal accountability and/or verification of services provided.

SAMPLE COVER LETTER
(ON PROPOSER LETTERHEAD)

ITEM # 2

DATE:

Mr. Héctor Colón, Director
Milwaukee County Department of Health and Human Services
1220 West Vliet Street, Room 301R
Milwaukee, WI 53205

Dear Mr. Colón:

I am familiar with the "*Year 2013 Fee For Service Guidelines: Program and Technical Requirements*" set forth by the Milwaukee County Department of Health and Human Services and am submitting the attached proposal which, to the best of my knowledge, is a true and complete representation of the requested materials.

Sincerely,

Authorized Signature: _____ Date: _____

Printed Name: _____ Title: _____

Agency: _____

YEAR 2013 PROPOSAL SUMMARY SHEET

ITEM # 1

Agency _____ Agency Director _____

Name of parent company and/or affiliated enterprises if agency is a subsidiary and/or affiliate of another business entity _____

Address _____
(Street) (City) (State) (Zip)

Contact Person _____

Telephone # _____ Email _____

Agency Fiscal Period _____ Federal ID Number _____
(Mo/Day/Year to Mo/Day/Year)

Please complete the following information for each 2013 program proposed in your proposal. Program name, and if applicable, a program number must be assigned to each program. This proposal must include programs from only one division. In order to apply for programs from more than one division, a separate, complete proposal must be submitted for each division.

Division: BHD___ DCSD___ DSD_X MSD___ Housing___ Wraparound___

(REFER TO TABLE OF CONTENTS IN PROGRAM REQUIREMENTS FOR PROGRAM NUMBER & NAME)

A. Program Number: DSD-022 Program Name: CLTS Care Management
Continuation___ New X

2012 Funding: _____ 2013 Request: _____

Site(s):

(1) _____ (3) _____
(2) _____ (4) _____

THIS SHEET MUST BE ATTACHED TO THE TOP OF THE PROPOSAL PACKAGE.
PLEASE DUPLICATE AS NEEDED. PLEASE USE A SEPARATE SHEET FOR EACH DHHS DIVISION FOR WHICH YOU ARE SUBMITTING PROPOSALS, AS WELL AS A SEPARATE SHEET FOR EACH PROGRAM WITHIN EACH DIVISION FOR WHICH YOU ARE APPLYING

YEAR 2013 AUTHORIZATION TO FILE RESOLUTION
(Applicable for Non-Profit and For-Profit Corporations Only)

ITEM #3

PLEASE NOTE: Proposals cannot be recommended for funding to the Milwaukee County Board until the Authorization to File is completed and received by DHHS Contract Administration.

This is to certify that at the _____ (Date) meeting of the Board of Directors of _____ (Agency Name), the following resolution was introduced by _____ (Board Member's Name), and seconded by _____ (Board Member's Name), and unanimously approved by the Board:

BE IT RESOLVED, that the Board of Directors of _____ (Agency Name) hereby authorizes the filing of a proposal for the Year 2013 Milwaukee County Department of Health and Human Services (DHHS) funding.

In connection therewith,

_____ (Name and Title) and _____ (Optional Name(s) and Title) is (are) authorized to negotiate with DHHS staff.

In accordance with the Bylaws (Article ____, Section ____) of _____ (Agency Name), _____ (Name and Title) and _____ (Optional Name(s) and Title) is (are) authorized to sign the Year 2013 Fee For Service Contract(s).

Name: _____ (Signature of the Secretary of the Board of Directors) Date: _____

Printed Name: _____

YEAR 2013 AGENCY DESCRIPTION AND ASSURANCES

ITEM # 4

Please check all the statements below that describe your business entity:

- | | | |
|--------------------------------------|--|---|
| <input type="checkbox"/> Corporation | <input type="checkbox"/> Partnership/Joint Venture | <input type="checkbox"/> Service Corporation (SC) |
| <input type="checkbox"/> For-Profit | <input type="checkbox"/> Limited Liability Company (LLC) | <input type="checkbox"/> Sole Proprietorship |
| <input type="checkbox"/> Non-Profit | <input type="checkbox"/> Single Member LLC | <input type="checkbox"/> Individual Credentialed Provider |

The agency has on file and agrees to make the following documents available for review upon request by DHHS.

_____ Articles of Incorporation (*applicable for Corporations only*)

_____ Operating Agreement (*applicable for LLC only*)

_____ Bylaws (*applicable for Corporations only*)

_____ Personnel Policies

_____ A client grievance procedure informing clients covered under DHS 94 of their rights and identifying the process clients may use to enforce those rights. The procedure is in compliance with Wisconsin Statute §51.61 and Wisconsin Administrative Code DHS 94.

_____ Audit Hotline Policy (see item 18)

_____ Accounting Policies and Procedure Manual in compliance with General Accepted Accounting Principles (GAAP) and the Wisconsin Department of Health and Family Services (DHFS) allowable cost policies.

_____ Agency billing procedure, in compliance with DHS 1, regulating billing and collection activities for care and services provided by the agency and purchased by Milwaukee County.

_____ A 'whistleblower' policy and procedure that enables individuals to come forward with credible information on illegal practices or violations of organizational policies. This policy must specify that the organization will not retaliate against individuals who make such reports.

_____ A conflict of interest policy and procedure to ensure all conflicts of interest, or appearance thereof, within the agency and the Board of Directors (if applicable) are avoided or appropriately managed through disclosure, recusal, or other means. At a minimum, the policy should require full written disclosure of all potential conflicts of interest within the organization.

_____ A code of ethics policy, which outlines the practices and behaviors expected from trustees, staff, and volunteers. The code of ethics policy shall be adopted by the board and shall be disseminated to all affected groups as part of orientation and updated annually.

_____ An emergency policy, which outlines the policies and procedures to be prepared for an emergency such as a tornado, blizzard, electrical blackout, pandemic influenza, or other natural or man-made disaster. Provider shall develop a written plan, to be retained in the Provider's office, that addresses:

1. The steps Provider has taken or will be taking to prepare for an emergency;
2. Which, if any, of Provider's services will remain operational during an emergency;
3. The role of staff members during an emergency;
4. Provider's order of succession and emergency communications plan; and
5. How Provider will assist Participants/Service Recipients to individually prepare for an emergency.

Providers who offer case management or residential care for individuals with substantial cognitive, medical, or physical needs are actively encouraged to develop an individualized emergency preparedness plan and shall assure at-risk Participants/Service Recipients have been offered any assistance they might require to complete the plan.

_____ Occupancy Permit and/or other permits required by local municipalities, as applicable, for services being provided.

Agency agrees to submit 2 original copies of a certified audit report, performed by an independent certified public accountant licensed to practice by the State of Wisconsin, in compliance with the audit requirements of the Fee For Service Contract.

Authorized Signature: _____ Date: _____

Printed Name: _____ Title: _____

Agency: _____

Items 5, 6, & 7 partially comprise the points scored under Administrative Ability
Item 5 partially comprises the points scored under Cultural Diversity and Cultural Competence
ITEM # 5

YEAR 2013 BOARD OF DIRECTORS/AGENCY OWNERS/STOCKHOLDERS
DEMOGRAPHY SUMMARY

Board members and staff must be able to serve a culturally diverse population in a manner that reflects culturally competent decision making and service delivery.

Cultural Diversity – *The presence of individuals and groups from different cultures. Cultural diversity in the workplace refers to the degree to which an organization, agency or other group is comprised of people from a variety of differing backgrounds related to behaviors, attitudes, practices, beliefs, values, and racial and ethnic identity.*

Ethnicity	Female	Male	Handicapped
Asian or Pacific Islander			
Black			
Hispanic			
American Indian or Alaskan Native			
White			
Totals			

A "handicapped individual" is defined pursuant to section 504 of the Rehabilitation Act of 1973 as any person who:

1. Has a physical or mental impairment that substantially limits one or more major life activities (e.g. caring for oneself, performing manual tasks, walking, seeing, hearing, speaking, breathing, learning and working);
2. Has a record of such impairment, or;
3. Is regarded as having such impairment.

Ethnicity is defined as:

1. Asian or Pacific Islander: All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands. This area includes, for example, China, Japan, Korea, the Philippine Islands and Samoa.
2. Black: All persons having origins in any of the Black racial groups of Africa.
3. Hispanic: All persons of Mexican, Puerto Rican, Cuban, Central or South America or other Spanish culture or origin, regardless of race. (Excludes Portugal, Spain, or other European countries).
4. American Indian or Alaskan Native: All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.
5. White: All persons who are not Asian or Pacific Islander, Black, Hispanic, American Indian or Alaskan Native.

Authorized Signature: _____ Date: _____

Printed Name: _____ Title: _____

Agency: _____

Board Committees/ Advisory Committees

Committee Name	Committee Purpose

The Board of Directors' 2013 meetings for the agency will be held on the following dates:

January	May	September
February	June	October
March	July	November
April	August	December

Contractor agrees to retain Board of Directors' meeting minutes for a period of at least four (4) years following contract termination and agrees to provide Milwaukee DHHS access to the meeting minutes upon request.

Authorized Signature: _____ Date: _____

Printed Name: _____ Title: _____

Agency: _____

YEAR 2013 AGENCY OWNERS/STOCKHOLDERS/OFFICERS
(applicable to all organizations)

ITEM # 7

Please list each agency owner, stockholder, officer, LLC manager, Partner, and/or LLC member, and indicate the office title and total compensation. In addition, for For-profit organizations also provide the percentage of ownership interest, amount of prior year's distributions or dividends from the agency during the prior year. Please note that only those stockholders holding twenty percent or greater interest must be listed. *This Item applies to both For-profit and Non-profit agencies.*

Name	Status	Office Title	% Owner-ship	Amount of Distributions/ Dividends (\$)	Total Compensation (\$)*
	<input type="checkbox"/> Stockholder/Owner/LLC Member/ Partner (for profit only) <input type="checkbox"/> Officer/LLC Manager (for profit only) <input type="checkbox"/> Officer (non profit only)				
	<input type="checkbox"/> Stockholder/Owner/LLC Member/ Partner (for profit only) <input type="checkbox"/> Officer/LLC Manager (for profit only) <input type="checkbox"/> Officer (non profit only)				
	<input type="checkbox"/> Stockholder/Owner/LLC Member/ Partner (for profit only) <input type="checkbox"/> Officer/LLC Manager (for profit only) <input type="checkbox"/> Officer (non profit only)				
	<input type="checkbox"/> Stockholder/Owner/LLC Member/ Partner (for profit only) <input type="checkbox"/> Officer/LLC Manager (for profit only) <input type="checkbox"/> Officer (non profit only)				
	<input type="checkbox"/> Stockholder/Owner/LLC Member/ Partner (for profit only) <input type="checkbox"/> Officer/LLC Manager (for profit only) <input type="checkbox"/> Officer (non profit only)				
	<input type="checkbox"/> Stockholder/Owner/LLC Member/ Partner (for profit only) <input type="checkbox"/> Officer/LLC Manager (for profit only) <input type="checkbox"/> Officer (non profit only)				

*Total Compensation should reflect amount reported on IRS Form W-2 and 1099.

Authorized Signature: _____ Date: _____

Printed Name: _____ Title: _____

Agency: _____

Item 8 comprises the points scored under Mission

YEAR 2013 AGENCY MISSION STATEMENT

ITEM # 8

Agency: _____

Submit your agency's Mission Statement.

AGENCY ORGANIZATIONAL CHART

ITEM # 9

Submit an organizational chart of the agency detailing each major department or program.

AGENCY LICENSES AND CERTIFICATIONS

ITEM # 10

Submit a copy of each agency license or certificate required to provide the service for which you are requesting funds and copies of any notices of noncompliance or restrictions.

**YEAR 2013 INDEMNITY, DATA & INFORMATION
SYSTEMS COMPLIANCE, HIPAA**

ITEM # 11

Indemnity/Insurance

Contractor agrees to the fullest extent permitted by law, to indemnify, defend and hold harmless, the County and its agents, officers and employees, from and against all loss or expense including costs and attorney's fees by reason of liability for damages including suits at law or in equity, caused by any wrongful, intentional, or negligent act or omission of the Contractor, or its (their) agents which may arise out of or are connected with the activities covered by this agreement.

Contractor shall indemnify and save County harmless from any award of damages and costs against County for any action based on U.S. patent or copyright infringement regarding computer programs involved in the performance of the tasks and services covered by this agreement.

Provision for Data and Information Systems Compliance

Contractor shall utilize computer applications in compliance with County standards in maintaining program data related to the contract, or bear full responsibility for the cost of converting program data into formats useable by County applications. All Contractors shall have internet access, an email address, and shall utilize Microsoft Excel 2000 or newer, or shall use applications which are exportable/convertible to Excel.

Health Insurance Portability and Accountability Act

The contractor agrees to comply with the federal regulations implementing the Health Insurance Portability and Accountability Act of 1996 (HIPAA) to the extent those regulations apply to the services the contractor provides or purchases with funds provided under this contract.

Authorized Signature: _____ Date: _____

Printed Name: _____ Title: _____

Agency: _____

INDEMNITY & INSURANCE

- A. Contractor agrees to the fullest extent permitted by law, to indemnify, defend and hold harmless, the County, its officers and employees, from and against all loss or expense including costs and attorney's fees by reason of liability for damages including suits at law or in equity, caused by any wrongful, intentional, or negligent act or omission of the Contractor, or its (their) agents or Subcontractor(s) or Independent Service Providers, which may arise out of or are connected with the activities covered by this Agreement.
- B. Contractor agrees to evidence and maintain proof of financial responsibility to cover costs as may arise from claims of tort, malpractice, errors and omissions, statutes and benefits under Workers' Compensation laws and/or vicarious liability arising from employees, board members and volunteers. Such evidence shall include insurances covering Workers' Compensation claims as required by the State of Wisconsin, Commercial General Liability and/or Business Owner's Liability, Automobile Liability (if the Agency owns or leases any vehicles) and Professional Liability (where applicable) in the minimum amounts listed below. Contractor must obtain all required coverage or confirm that applicable coverage has been obtained by County approved Independent Service Provider(s) or approved Subcontractor(s).
- C. Automobile insurance that meets the Minimum Limits as described in this Contract is required for all agency vehicles (owned, non-owned, and/or hired). In addition, if any employees or agents of Contractor will use personal vehicles for any purpose related to the provision of covered services under this Contract, or any other agreement with the DHHS, Contractor shall have Automobile Liability Insurance that meets the Minimum Limits for non-owned and/or hired autos as described in this Contract.

Contractor hereby certifies that Contractor's Direct Service Providers who use personal vehicles for any purpose related to the provision of Covered Services have in effect insurance policies in companies licensed to do business in the State of Wisconsin providing protection against all liability, including public liability and property damage, arising out of the use of their automobiles during the course of their employment. Contractor further certifies that said Direct Service Providers have a Driver's License valid in the state of Wisconsin.

- D. If the services provided under the contract constitute professional services, Contractor shall maintain Professional Liability coverage as listed below. Treatment providers (including psychiatrists, psychologists, social workers) who provide treatment off premises must obtain General Liability coverage (on premises liability and off-premise liability), to which Milwaukee County is added as an additional insured, unless not otherwise obtainable.
- E. It being further understood that failure to comply with insurance requirements may result in suspension:

TYPE OF COVERAGE	MINIMUM LIMITS
<u>Wisconsin Workers' Compensation</u> or Proof of all States Coverage	Statutory
<u>Employer's Liability</u>	\$100,000/\$500,000/\$100,000
<u>Commercial General and/or Business Owner's Liability</u>	
Bodily Injury & Property Damage (Incl. Personal Injury, Fire, Legal Contractual & Products/Completed Operations)	\$1,000,000 - Per Occurrence \$1,000,000 - General Aggregate
<u>Automobile Liability</u>	
Bodily Injury & Property Damage All Autos - Owned, Non-Owned and/or Hired Uninsured Motorists	\$1,000,000 Per Accident Per Wisconsin Requirements
<u>Professional Liability</u>	
To include Certified/Licensed Mental Health and AODA Clinics and Providers and Hospital, Licensed Physician or any other qualified healthcare provider under Sect 655 Wisconsin Patient Compensation Fund Statute	\$1,000,000 Per Occurrence \$3,000,000 Annual Aggregate As required by State Statute
Any non-qualified Provider under Sec 655 Wisconsin Patient Compensation Fund Statute State of Wisconsin (indicate if Claims Made or Occurrence)	\$1,000,000 Per Occurrence/Claim \$3,000,000 Annual Aggregate
Other Licensed Professionals	\$1,000,000 Per Occurrence \$1,000,000 Annual aggregate or Statutory limits whichever is higher

Should the statutory minimum limits change, it is agreed the minimum limits stated herein shall automatically change as well

- F. Milwaukee County, as its interests may appear, shall be named as, and receive copies of, an "additional insured" endorsement, for general liability, automobile insurance, and umbrella/excess insurance. Milwaukee County must be afforded a thirty day (30) written notice of cancellation, or a non-renewal disclosure must be made of any non-standard or restrictive additional insured endorsement, and any use of non-standard or restrictive additional insured endorsement will not be acceptable.

Exceptions of compliance with "additional insured" endorsement are:

1. Transport companies insured through the State "Assigned Risk Business" (ARB).
2. Professional Liability where additional insured is not allowed.

- G. A Waiver of Subrogation for Workers' Compensation by endorsement in favor of Milwaukee County is also required. A copy of the endorsement shall be provided to DHHS.
- H. Contractor shall furnish Purchaser annually on or before the date of renewal, evidence of a Certificate indicating the above coverages (with the Milwaukee County Department of Health and Human Services named as the "Certificate Holder") shall be submitted for review and approval by Purchaser throughout the duration of this Agreement. If said Certificate of Insurance is issued by the insurance agent, it is Contractor's responsibility to ensure that a copy is sent to the insurance company to ensure that the County is notified in the event of a lapse or cancellation of coverage.

CERTIFICATE HOLDER

Milwaukee County Department of Health and Human Services
Contract Administrator
1220 W. Vliet Street, Suite 301
Milwaukee, WI 53205

- I. If Contractor's Professional Liability insurance is underwritten on a Claims-Made basis, the Retroactive date shall be prior to or coincide with the date of this Agreement, the Certificate of Insurance shall state that *professional malpractice or errors and omissions coverage, if the services being provided are professional services coverage* is Claims-Made and indicate the Retroactive Date, Contractor shall maintain coverage for the duration of this Agreement and for six (6) years following the completion of this Agreement.

It is also agreed that on Claims-Made policies, either Contractor or County may invoke the tail option on behalf of the other party and that the Extended Reporting Period premium shall be paid by Contractor.

- J. Binders are acceptable preliminarily during the provider application process to evidence compliance with the insurance requirements.
- K. All coverages shall be placed with an insurance company approved by the State of Wisconsin and rated "A" per Best's Key Rating Guide. Additional information as to policy form, retroactive date, discovery provisions and applicable retentions, shall be submitted to Purchaser, if requested, to obtain approval of insurance requirements.
- L. Any deviations, including use of purchasing groups, risk retention groups, etc., or requests for waiver from the above requirements shall be submitted in writing to the Milwaukee County Risk Manager for approval prior to the commencement of activities under this Agreement:

Milwaukee County Risk Manager
Milwaukee County Courthouse – Room 302
901 North Ninth Street
Milwaukee, WI 53233

The insurance requirements contained in this Agreement are subject to periodic review and adjustment by the County Risk Manager.

YEAR 2013 RELATED PARTY DISCLOSURES

ITEM # 13

Milwaukee County Employee

Submit a list of any Milwaukee County employee, or former County employee to whom your agency paid a wage, salary, or independent contractor fee during the preceding three-year period. Include payments made during 2010, 2011, and 2012 to any person who was at the time of payment, also employed by Milwaukee County.

Employee	2010 Wages	2011 Wages	2012 Wages

No employment relationship with current or former Milwaukee County employees (within 3 years) exists.

Related Party Relationships

The agency rents from or contracts with a person who has ownership or employment interest in the agency; serves on the Board of Directors; or is a member of the immediate family of an owner, officer, employee, or board member? Yes No

If such a relationship exists, submit a copy of lease agreements, certified appraisals, and contract agreements, etc.

Submit a full disclosure of the relationship, including the extent of interest and amount of estimated income anticipated from each source, for each individual if any board member, stockholder, owner, officer, or member of the immediate family of any board member, stockholder, owner or officer, holds interest in firms or serves on the board from which materials or services are purchased by the agency, its subsidiaries, or affiliates. "Immediate family" means an individual's spouse or an individual's relative by marriage, lineal descent, or adoption who receives, directly or indirectly, more than one-half of his/her support directly from the individual or from whom the individual receives, directly or indirectly, more than one-half of his/her support.

Name	Relationship	% or Estimated Income

Authorized Signature: _____ Date: _____

Printed Name: _____ Title: _____

Agency: _____

FORM 2C - YEAR 2013 EMPLOYEE HOURS - RELATED ORGANIZATION DISCLOSURE *ITEM # 14*

For each employee of your agency who works for more than one related organization which may or may not be under contract to Milwaukee County, the total number of weekly hours scheduled for each affiliated corporate or business enterprise must be accounted for by program/activity.

“Related Organization” is defined as an organization with a board, management, and/or ownership which is (are) shared with the Proposer organization.

Employee Name	Related Organization/ Employer	Program/Activity	Total Weekly Hours

Please check the statement below, sign and date the form if the above condition does not exist.

_____ No employee of the agency works for more than one related organization that may or may not be under contract to Milwaukee County.

Authorized Signature: _____ Date: _____

Printed Name: _____ Title: _____

Agency: _____

YEAR 2013 CONFLICTS OF INTEREST AND PROHIBITED PRACTICES

ITEM # 15

Interest in Contract

No officer, employee or agent of the County who exercises any functions or responsibilities with carrying out any services or requirements to which this contract pertains has any personal interest, direct or indirect, in this contract.

Interest of Other Public Officials

No member of the governing body of a locality, County or State and no other public official of such locality, County or State who exercises any functions or responsibilities in the review or approval of the carrying out of this contract has any personal interest, direct or indirect, in this contract.

Contractor covenants s/he presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services under this contract. Any conflict of interest on the part of the Contractor will be disclosed to the County. In the event Contractor has a conflict of interest that does not permit Contractor to perform the services under the contract with respect to any client or recipient, Contractor will notify the County and will provide the County with all records and reports relating to same.

Prohibited Practices

Contractor attests that it is familiar with Milwaukee County’s Code of Ethics, Chapter 9 of Milwaukee County Code of General Ordinances, which states in part, “No person may offer to give any County officer or employee or his immediate family, or no County officer or employee or his immediate family may solicit or receive anything of value pursuant to an understanding that such officer’s or employee’s vote, official action, or judgment would be influenced thereby.”

Said chapter further states, “No person(s) with a personal financial interest in the approval or denial of a contract being considered by a County department or with an agency funded and regulated by a County department, may make a campaign contribution to any candidate for an elected County office that has final authority during its consideration. Contract considerations shall begin when a contract is submitted directly to a County department or to an agency until the contract has reached its final disposition, including adoption, county executive action, proceedings on veto (if necessary) or departmental approval.”

Where Agency intends to meet its obligations under this or any part of this RFP through a subcontract with another entity, Agency shall first obtain the written permission of County; and further, Agency shall ensure it requires of its subcontractors the same obligations incurred by Agency under this RFP.

Authorized Signature: _____ Date: _____

Printed Name: _____ Title: _____

Agency: _____

In accordance with Section 56.17 of the Milwaukee County General Ordinances and Title 41 of the Code of Federal Regulations, Chapter 60, SELLER or SUCCESSFUL BIDDER or CONTRACTOR or LESSEE or (Other-specify),(Hence forth referred to as VENDOR) certifies to Milwaukee County as to the following and agrees that the terms of this certificate are hereby incorporated by reference into any contract awarded.

Non-Discrimination

VENDOR certifies that it will not discriminate against any employee or applicant for employment because of race, color, national origin, sex, age or handicap which includes but is not limited to the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training including apprenticeship.

VENDOR will post in conspicuous places, available to its employees, notices to be provided by the County setting forth the provision of the non-discriminatory clause.

A violation of this provision shall be sufficient cause for the County to terminate the contract without liability for the uncompleted portion or for any materials or services purchased or paid for by the contractor for use in completing the contract.

Affirmative Action Program

VENDOR certifies that it will strive to implement the principles of equal employment opportunity through an effective affirmative action program, which shall have as its objective to increase the utilization of women, minorities, and handicapped persons and other protected groups, at all levels of employment in all divisions of the vendor's work force, where these groups may have been previously under-utilized and under-represented.

VENDOR also agrees that in the event of any dispute as to compliance with the afore stated requirements, it shall be his responsibility to show that he has met all such requirements.

Non-Segregated Facilities

VENDOR certifies that it does not and will not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not permit its employees to perform their services at any location under its control, where segregated facilities are maintained.

Subcontractors

VENDOR certifies that it has obtained or will obtain certifications regarding non-discrimination, affirmative action program and non segregated facilities from proposed subcontractors that are directly related to any contracts with Milwaukee County, if any, prior to the award of any subcontracts, and that it will retain such certifications in its files.

Reporting Requirement

Where applicable, VENDOR certifies that it will comply with all reporting requirements and procedures established in Title 41 Code of Federal Regulations, Chapter 60.

Affirmative Action Plan

VENDOR certifies that, if it has 50 or more employees, it will develop and/or update and submit (within 120 days of contract award) an Affirmative Action Plan to: Mr. Paul Grant, Audit Compliance Manager, Milwaukee County Department of Audit, 2711 West Wells Street 9th Floor, Milwaukee, WI 53208 [Telephone No.: (414) 278-4292].

VENDOR certifies that, if it has 50 or more employees, it has filed or will develop and submit (within 120 days of contract award) for each of its establishments a written affirmative action plan. Current Affirmative Action plans, if required, must be filed with any of the following: The Office of Federal Contract Compliance Programs or the State of Wisconsin, or the Milwaukee County Department of Audit, 2711 West Wells Street, Milwaukee, WI 53208 [Telephone No.: (414) 278-4292].

If a current plan has been filed, indicate where filed _____ and the years covered _____.

VENDOR will also require its lower-tier subcontractors who have 50 or more employees to establish similar written affirmative action plans.

Employees

_____ VENDOR certifies that it has _____ (No. of Employees) _____ employees in the Standard Metropolitan Statistical Area (Counties of Milwaukee, Waukesha, Ozaukee and Washington, Wisconsin) and (No. of Employees) _____ employees in total.

Compliance

VENDOR certifies that it is not currently in receipt of any outstanding letters of deficiencies, show cause, probable cause, or other notification of noncompliance with EEO regulations.

Executed this ___ day of _____, 20___ by: Firm Name _____

By _____ Address _____
(Signature)

Title _____ City/State/Zip _____

YEAR 2013 EQUAL OPPORTUNITY POLICY

ITEM # 17

_____ is in compliance with the equal opportunity policy and standards of all applicable Federal and State rules and regulations regarding nondiscrimination in employment and service delivery.

EMPLOYMENT - AFFIRMATIVE ACTION & CIVIL RIGHTS

It is the official policy of _____ that no otherwise qualified person shall be excluded from employment, be denied the benefits of employment or otherwise be subjected to discrimination in employment in any manner on the basis of age, race, religion, color, sex, national origin or ancestry, handicap, physical condition, developmental disability, arrest or conviction record, sexual orientation, military/veteran status or military participation. We pledge that we shall comply with Affirmative Action and Civil Rights standards to ensure that applicants are employed and that employees are treated during their employment without regard to the above named characteristics. Such action shall include but not be limited to the following: employment, upgrading, demotion, transfer, recruitment, or recruitment advertising, layoff or termination, rates of pay or other forms of compensation and selection for training including apprenticeship.

_____ has a written Affirmative Action Plan which includes a process by which discrimination complaints may be heard and resolved.

SERVICE DELIVERY - CIVIL RIGHTS

It is the official policy of _____ that no otherwise qualified applicant for services or service recipient shall be excluded from participation, be denied benefits or otherwise be subjected to discrimination in any manner on the basis of age, race, religion, color, sex, national origin or ancestry, handicap, physical condition, developmental disability, arrest or conviction record, sexual orientation, military/veteran status or military participation. We pledge that we shall comply with civil rights laws to ensure equal opportunity for access to service delivery and treatment without regard to the above named characteristics. _____ has a written Civil Rights Action Plan which includes a process by which discrimination complaints may be heard and resolved.

All officials and employees of _____ are informed of this statement of policy. Decisions regarding employment and service delivery shall be made to further the principles of affirmative action and civil rights.

To ensure compliance with all applicable Federal and State rules and regulations regarding Equal Opportunity and nondiscrimination in employment and service delivery, _____ has been designated as our Equal Opportunity Coordinator. Any perceived discrimination issues regarding employment or service delivery shall be discussed with Ms. /Mr. _____. Ms. /Mr. _____ may be reached during week days at _____.

A copy of the Affirmative Action Plan and/or the Civil Rights Action Plan including the process by which discrimination complaints may be heard and resolved is available upon request.

(Director or Chief Officer)

(Title)

(Date)

This Policy Statement shall be posted in a conspicuous location.

Department of Audit Hotline

Milwaukee County has set up the Department of Audit Hotline to be the primary conduit for concerned employees, citizens, and contractors to communicate allegations of fraud, waste and abuse involving County government. Milwaukee County’s resolution states, in part,

“all department heads and administrators of Milwaukee County are hereby directed to provide information regarding Milwaukee County Department of Audit Fraud Hotline to all professional service and construction contractors when they commence work for Milwaukee County and, further, that instructions and bulletins shall be provided to said contractors that they post this information in a location where their employees will have access to it and provide said information to any and all subcontractors that they may retain; and

...Milwaukee County funded construction and work sites shall also have posted the bulletin that the Department of Audit has developed which provides the Fraud Hotline number and other information and the Department of Public Works shall inform contractors of this requirement”

A Hotline bulletin is attached (See flyer under Appendices). Please distribute the revised bulletin to contractors as contracts are let or renewed and also post it prominently at all County employee work locations associated with your organization.

Certifies that the copies of Audit Hotline poster will be posted at prominent locations within our organization upon effective date of awarded contract.

Authorized Signature: _____ Date: _____

Printed Name: _____ Title: _____

Agency: _____

CERTIFICATION REGARDING DEBARMENT AND SUSPENSION

ITEM # 19

CERTIFICATION STATEMENT

DEBARMENT AND SUSPENSION

The Proposer certifies to the best of its knowledge and belief, that the corporation, LLC, partnership, or sole proprietor, and/or its' principals, owners, officers, shareholders, key employees, directors and member partners: (1) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency; (2) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (3) are not presently indicted for or otherwise criminally charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in (2) of this certification; and, (4) have not within a three-year period preceding this proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

Authorized Signature: _____ Date: _____

Printed Name: _____ Title: _____

Agency: _____

ADDITIONAL DISCLOSURES

ITEM # 20

1. Has your organization or any representative, owner, partner or officer ever failed to perform work awarded or had a contract terminated for failure to perform or for providing unsatisfactory service?

Yes No If yes, on a separate page please provide a detailed explanation.

2. Within the past five (5) years, has your organization or any representative, owner, partner or officer (collectively "your Company") ever been a party to any court or administrative proceedings or disciplinary action, where the violation of any local, state or federal statute, ordinance, rules, regulation, or serious violation of company work rules by your Company was alleged?

Yes No If yes, on a separate page, please provide a detailed explanation outlining the following:

- Date of citation or violation
- Description of violation
- Parties involved
- Current status of citation

3. Within the past 5 years has your organization had any reported findings on an annual independent audit?

Yes No If yes, on a separate page please provide a detailed explanation.

4. Within the past 5 years, has your organization been required to submit a corrective action plan by virtue of review or audit by independent auditor, or any governmental agency or purchaser of services?

Yes No If yes, on a separate page please provide a detailed explanation including if the corrective action has been accepted by the purchasing agency and completely implemented? If not, please explain remaining action required by purchasing agency.

5. Have you, any principals, owners, partners, shareholders, directors, members or officers of your business entity ever been convicted of, or pleaded guilty, or no contest to, a felony, serious or gross misdemeanor, or any crime or municipal violation, involving dishonesty, assault, sexual misconduct or abuse, or abuse of controlled substances or alcohol, or are charges pending against you or any of the above persons for any such crimes by information, indictment or otherwise?

Yes No If yes, on a separate page, please provide a detailed explanation.

Authorized Signature: _____ Date: _____

Printed Name: _____ Title: _____

Agency: _____

RESOLUTION REGARDING FILE 99-233 REQUIRING BACKGROUND CHECKS FOR AGENCIES SERVING YOUTH

Proposer certifies that it will comply with the provisions of the Milwaukee County Resolution Requiring Background Checks, File No. 99-233. Agencies under contract shall conduct background checks at their own expense.

RESOLUTION REQUIRING BACKGROUND CHECKS ON DEPARTMENT OF HEALTH AND HUMAN SERVICES CONTRACT AGENCY EMPLOYEES PROVIDING DIRECT CARE AND SERVICES TO CHILDREN AND YOUTH

Provisions of the Resolution requiring criminal background checks for current or prospective employees of DHHS contract agencies and agencies/organizations with which the DHHS has reimbursable agreements providing direct care and services to Milwaukee County children and youth were initially passed by the County Board in September, 1999.

In May, 2000, the County Board adopted a modification of the resolution that separates individuals who have committed crimes under the Uniform Controlled Substances Act under Chapter 961 Wisconsin Statutes from the felony crimes referenced in the original Resolution and those referenced under Chapter 948 of the Statutes.

The Resolution shall apply only to those employees who provide direct care and services to Milwaukee County children and youth in the ordinary course of their employment, and is not intended to apply to other agency employees such as clerical, maintenance or custodial staff whose duties do not include direct care and services to children and youth.

1. DHHS contract agencies and agencies/organizations with which the DHHS has reimbursable agreements shall certify, by written statement to the DHHS, that they have a written screening process in place to ensure background checks, extending at least three (3) years back, for criminal and gang activity, for current and prospective employees providing direct care and services to children and youth. The background checks shall be made prior to hiring a prospective employee on all candidates for employment regardless of the person's place of residence.
2. DHHS contract agencies and agencies/organizations with which the DHHS has reimbursable agreements shall certify, by written statement to the DHHS, that they are in compliance with the provisions of the Resolution; that the statement shall be subject to random verification by the DHHS or its designee; and, that the DHHS or its designee shall be submitted, on request, at all reasonable times, copies of any or all background checks performed on its employees pursuant to this Resolution.
3. DHHS contract agencies and agencies/organizations with which the DHHS has reimbursable agreements which do not submit to the DHHS or its designee, copies of any or all background checks, on request, at all reasonable times, pursuant to this Resolution, shall be issued a letter of intent within 10 working days by the DHHS or its designee to file an official 30-day notice of termination of the contract, if appropriate action is not taken by the contract agency towards the production of said documents.
4. DHHS contract agencies and agencies/organizations with which the DHHS has reimbursable agreements shall perform criminal background checks on current employees who provide direct care and services to children and youth by January 31, 2001 and, after 48 months of employment have elapsed, criminal background checks shall be performed every four (4) years within the year thereafter.
5. DHHS contract agencies and agencies/organizations with which the DHHS has reimbursable agreements shall hire prospective employees after January 31, 2001 conditioned on the provisions

stated above for criminal background checks and, after four (4) years within the year thereafter, and for new employees hired after January 31, 2001.

6. DHHS contract agencies and agencies/organizations with which the DHHS has reimbursable agreements which determine that a current or prospective employee was convicted of one or more of the following offenses shall notify the DHHS or its designee immediately. Offenses include: homicide (all degrees); felony murder; mayhem; aggravated and substantial battery; 1st and 2nd degree sexual assault; armed robbery; administering dangerous or stupefying drugs; and, all crimes against children as identified in Chapter 948 of Wisconsin Statutes.
7. DHHS contract agencies and agencies/organizations with which the DHHS has reimbursable agreements which determine that a current or prospective employee was convicted of any other offense not listed in Number 6 shall notify the DHHS or its designee immediately. Offenses include but are not limited to: criminal gang member solicitations; simple possession; endangering public safety; robbery; theft; or, two (2) or more misdemeanors involving separate incidences within the last three (3) years.
8. DHHS contract agency employees and employees of agencies/organizations with which the DHHS has reimbursable agreements who provide direct care and services to children and youth, charged with any of the offenses referenced in Number 6 and Number 7, shall notify the DHHS or its designee within two (2) business days of the actual arrest.
9. Upon notification from a contract agency or from agencies with other reimbursable agreements that their screening process has identified a current or prospective employee with a conviction as stated in Number 6, or a conviction that occurred less than three (3) years from the date of employment as stated in Number 7, the DHHS or its designee shall issue a letter of intent within 10 working days to file an official 30-day notice of termination of the contract if appropriate action is not taken towards the exclusion of said individual from having any contact with children or youth in the direct provision of care and services to children and youth.
10. The DHHS or its designee, upon receipt of notification of potentially disqualifying past criminal misconduct or pending criminal charges as stated in Number 6 and Number 7 of this Resolution, shall terminate the contract or other agreement if, after 10 days' notice to the contract agency, the DHHS or its designee has not received written assurance from the agency that the agency has taken appropriate action towards the convicted current or prospective employee consistent with the policy expressed in this Resolution.
11. DHHS contract agencies and agencies/organizations with which the DHHS has reimbursable agreements which determine that a current or prospective employee was convicted of any crime under the Uniform Controlled Substances Act under Chapter 961 of Wisconsin Statutes, excluding simple possession, and the conviction occurred within the last five (5) years from the date of employment or time of proposal, shall notify the DHHS or its designee immediately.
12. Upon notification from a contract agency or from agencies with other reimbursable agreements that their screening process has identified a current or prospective employee with a conviction under the Uniform Controlled Substances Act under Chapter 961 of Wisconsin Statutes, excluding simple possession, the DHHS or its designee shall issue a letter of intent, within 10 working days, to file an official 30-day notice of termination of the contract if appropriate action is not taken towards the exclusion of said individual from having any contact with children or youth in the direct provision of care and services to children and youth. **Current or prospective employees of DHHS contract agencies or other reimbursable agreements who have not had a conviction within the last five (5) years under the Uniform Controlled Substances Act under Chapter 961 of Wisconsin Statutes, excluding simple possession, shall not be subject to the provisions of this Resolution.**

CERTIFICATION STATEMENT

ITEM# 21

**RESOLUTION REGARDING FILE 99-233 REQUIRING BACKGROUND CHECKS
FOR AGENCIES SERVING CHILDREN AND YOUTH**

This is to certify that _____
(Name of Agency/Organization)

- (1) has received and read the enclosed, "PROVISIONS OF RESOLUTION REQUIRING BACKGROUND CHECKS ON DEPARTMENT OF HUMAN SERVICES CONTRACT AGENCY EMPLOYEES PROVIDING DIRECT CARE AND SERVICES TO MILWAUKEE COUNTY CHILDREN AND YOUTH;"
- (2) has a written screening process in place to ensure background checks on criminal and gang activity for current and prospective employees providing direct care and services to children and youth; and,
- (3) is in compliance with the provisions of File No. 99-233, the Resolution requiring background checks.

Authorized Signature: _____ Date: _____

Printed Name: _____ Title: _____

Agency: _____

CERTIFICATION STATEMENT

RESOLUTION REGARDING CAREGIVER AND CRIMINAL BACKGROUND CHECKS

(Applies to all agencies with employees who meet the definition of "caregiver", per definition below)

Contract agencies and agencies with which the DHHS has reimbursable agreements shall certify, by written statement, that they will comply with the provisions of ss.50.065 and ss.146.40 Wis. Stats. and DHS 12 and DHS13, Wis. Admin. Code *State of Wisconsin Caregiver Program* (all are online at <http://www.legis.state.wi.us/rsb/code.htm>). Agencies under contract shall conduct background checks at their own expense.

DEFINITION: EMPLOYEES AS CAREGIVERS (Wisconsin Caregiver Program Manual, <http://dhfs.wisconsin.gov/caregiver/pdffiles/Chap2-CaregiverBC.pdf>)

A caregiver is a person who meets all of the following:

- is employed by or under contract with an entity;
- has regular, direct contact with the entity's clients or the personal property of the clients; and
- is under the entity's control.

This includes employees who provide direct care and may also include Housekeeping, maintenance, dietary and administrative staff, if those persons are under the entity's control and have regular, direct contact with clients served by the entity.

This is to certify that _____
(Name of Agency/Organization)

is in compliance with the provisions of ss.50.065 and ss.146.40 Wis. Stats. and DHS 12 and DHS 13, Wis. Admin. Code *State of Wisconsin Caregiver Program*

Authorized Signature: _____ Date: _____

Printed Name: _____ Title: _____

Agency: _____

Item 23 partially comprises the points scored under Cultural Diversity and Cultural Competence

CULTURAL COMPETENCE

ITEM # 23

Cultural Competence - A set of congruent behaviors, attitudes, practices and policies formed within a system, within an agency, and among professionals to enable the system, agency and professionals to work respectfully, effectively and responsibly in diverse situations. Essential elements of cultural competence include valuing diversity, understanding the dynamics of difference, institutionalizing cultural knowledge, and adapting to and encouraging organizational diversity.

Cultural Humility - Cultural Humility recognizes variation within members of a group which may otherwise be similar in terms of race, gender, ethnicity, or other characteristic. The emphasis in Cultural Humility is not on specific knowledge of any given cultural orientation, but rather on an approach which demonstrates a respectful attitude toward diverse points of view, recognizing that groups of individuals cannot be reduced to a set of discrete traits. This approach specifically avoids making broad assumptions about groups based on defined traits or behaviors; instead, it focuses on recognizing and integrating the unique perspective each client brings to the service delivery experience.

Describe your proposed strategy for developing and maintaining Cultural Competence. Apart from having a culturally diverse board and or staff, please provide specific examples of existing and/or proposed policies, procedures, and other practices promoting Cultural Competence. A defining characteristic of Cultural Humility is client centered care. Proposers should describe their client centered approach specifically in terms of how it incorporates Cultural Humility.

CIVIL RIGHTS COMPLIANCE PLAN (Submittals Not Needed for This Contract)

ITEM #24

Consistent with the U.S. Department of Health and Human Services and the State of Wisconsin, all contract recipients **are required** to submit a Civil Rights Compliance Plan (CRCP) or Letter of Assurance (LOA) within 120 days of effective date of contract to Milwaukee County Contract Administration (see below). This is **mandatory** for all agencies that meet the criteria listed below.

Entire Civil Rights Compliance Plan

- Agency has 25 employees **AND**
- Agency has \$25,000 of combined revenues from the State and/or a County.

Affirmative Action Plan	Exemption from Submitting Affirmative Action Plan (DOA 3024)	Equal Opportunity Policy	LEP Policy Statement	Discrimination Compliant Forms & Process	DOA Forms (Only if contracting directly with the State)
✓	✓ Applicable if agency has achieved balanced workforce, or has undergone an audit of its Affirmative Action Program within the last year. (Follow additional documentation guidelines set forth in DOA 3024.)	✓	✓	✓	✓ DOA Forms 3067 – Notice to Vendor Filing Information 3023 – Vendor’s Sub-contractor’s List

Letter of Assurance (must conform with format on State website listed below)

- Agency has less than 25 employees **OR**
- Agency does not have \$25,000 of combined revenues from the State and/or a County.

Letter of Assurance	CRCP Cover Title Page	Request for Exemption from Submitting Affirmative Action Plan (DOA 3024)
✓	✓	✓

Fillable forms, instructions, sample policies and plans are available on the State website at:

http://dcf.wisconsin.gov/civil_rights/default.htm

Submit to:

Jane Alexopoulos
 Milwaukee County DHHS
 Contract Administration
 1220 West Vliet Street,
 Milwaukee WI 53205

Item 25 partially comprises the points scored under Administrative Ability
EMERGENCY MANAGEMENT PLAN

ITEM # 25

In order for Agencies under contract with DHHS to be prepared for a natural or man-made disaster, or any other internal or external hazard that threatens clients, staff, and/or visitor life and safety, and in order to comply with federal and state requirements, Agencies shall have a written Emergency Management Plan (EMP). All employees shall be oriented to the plan and trained to perform assigned tasks. **Submit an Emergency Management Plan that identifies the steps Proposer has taken or will be taking to prepare for an emergency and address, at a minimum, the following areas and issues:**

1. Agency's order of succession and emergency communications plan, including who at the facility/organization will be in authority to make the decision to execute the plan to evacuate or shelter in place and what will be the chain of command;
2. Develop a continuity of operations business plan using an all-hazards approach (e.g., floods, tornadoes, blizzards, fire, electrical blackout, bioterrorism, pandemic influenza or other natural or man-made disasters) that could potentially affect current operations or site directly and indirectly within a particular area or location;
3. Identify services deemed "essential", and any other services that will remain operational during an emergency (**Note, Agencies who offer case management, residential, or personal care for individuals with medical, cognitive, emotional or mental health needs, or to individuals with physical or developmental disabilities are deemed to be providers of essential services**);
4. Identify and communicate procedures for orderly evacuation or other response approved by local emergency management agency during a fire emergency;
5. Plan a response to serious illness, including pandemic, or accidents;
6. Prepare for and respond to severe weather including tornado and flooding;
7. Plan a route to dry land when a facility or site is located in a flood plain;
8. For residential facilities, identify the location of an Alternate Care Site for Residents/Clients (Note, this should include a minimum of two alternate facilities, with the second being at least 50 miles from the current facility);
9. Identify a means, other than public transportation, of transporting residents to the Alternate Care location (Note, for Alternate Care Sites and transportation, a surge capability assessment and Memorandum of Understanding (MOU) with Alternate Care Site and alternative transportation provider should be included in the development of the emergency plan);
10. Identify the role(s) of staff during an emergency, including critical personnel, key functions and staffing schedules (**Note, in the case of Personal Care Workers, staff should be prepared to accompany the Client to the Alternate Care Site, or local emergency management identified Emergency Shelter**). Provide a description of your agency's proposed strategy for handling fluctuations in staffing needs. Examples may include, but are not limited to: referral networks, flexible staffing, on-call staff, or "pool" workers, and other strategies to expand or reduce physical or staff capacity due to crisis, variations in client volume, or other staffing emergencies;
11. Identify how meals will be provided to Residents/Clients at an Alternate Care Site. In addition, a surge capacity assessment should include whether the Agency, as part of its emergency planning, anticipates the need to make housing and sustenance provisions for the staff and/or the family of staff;
12. Identify how Agencies who offer case management, residential care, or personal care for individuals with substantial cognitive, medical, or physical needs shall assist Clients to individually prepare for an

emergency and obtain essential services during an emergency, including developing a Care Plan that includes an emergency plan on an individual level.

13. Ensure that current assessment and treatment plan for each Resident/Client with specific information about the characteristics and needs of the individuals for whom care is provided is available in an emergency and accompanies the Resident/Client to the Alternate Care Site. This should include: Resident identification, diagnosis, acuity level, current drugs/prescriptions, special medical equipment, diet regimens and name and contact of next of Kin/responsible person/POA.
14. Identify staff responsible for ensuring availability of prescriptions/medical equipment and Client information at Alternate Care Site;
15. Communicate and Collaborate with local emergency management agencies to ensure the development of an effective emergency plan (typically the fire chief, or his/her designee); and
16. Collaborate with Suppliers and Personal Services Providers.

Describe, in detail, formal and informal agreements (such as Memoranda of Agreement) which support elements of your plan, as well as any specific examples of tests, drills, or actual implementation of any parts of your plan. Agencies shall have agreements or MOUs with other agencies or operators of Alternate Care Sites and assess the availability of volunteer staff for such emergencies.

Proposers can find resources for EMPs including sample plans, Mutual Aid Agreement and templates at the following websites:

http://dhs.wi.gov/rl_dsl/Providers/SamplEmergPlans.htm

http://dhfs.wisconsin.gov/rl_DSL/Providers/EvacSheltTemplate.pdf

http://dhs.wisconsin.gov/rl_DSL/EmergencyPreparedness/EmPrepIndex.htm

If Proposer serves persons with special needs receiving in-home care, or care in a supportive apartment, it should have the Client, the caregiver or someone upon whom the Client relies for personal assistance or safety complete the below referenced "DISASTER PREPAREDNESS CHECKLIST FOR INDIVIDUALS WITH SPECIAL NEEDS".

<http://www.dhs.wisconsin.gov/preparedness/resources.htm>

Part 2: BUDGET AND OTHER FINANCIAL INFORMATION
INSTRUCTIONS and FORMS

IRS FORM 990

ITEM #26

Organizations exempt from income tax under Section 501(c) of the Internal Revenue Code are required to submit the most recent copy of their Internal Revenue Service (IRS) Form 990 with their corresponding CPA audit report.

Note: This does not apply to new agencies that have never filed IRS Form 990

CERTIFIED AUDIT/BOARD APPROVED FINANCIAL STATEMENT

ITEM #27

Agencies not under contract with the DHHS should submit a copy of the agency's prior year certified audit or the most recent Board of Directors approved financial statement if an audit has not been performed for that year.

BUDGET FORMS

ITEM #28

Item 27, forms 1 – 6H comprise the points scored under Budget Justification

All proposers must define a unit of service and calculate a cost per unit on Budget Form 1 regardless of the payment method expected to be identified in the final executed contract. Form 1 partially comprises the points scored under Budget Justification.

Form 2 partially comprises the points scored under Staffing Plan

Form 2B partially comprises the points scored under Cultural Diversity and Cultural Competence

Budget Forms 1, 2, 2A, 2B, 3, 3S, 4, 4S, 5, 5A, and 6 – 6H, are all linked with one another and are located at:

http://county.milwaukee.gov/DHHS_bids.

All Proposers must report unit details on Form 1. These forms must be used in the format provided, and completed according to the Instructions provided with the link forms under various tabs marked "Instructions". Any forms that have been altered will not be accepted; the item will be considered an omission in the proposal and will be scored accordingly during the review process. **All Proposers in addition to submitting a hard copy, must submit budget forms electronically to dhsca@milwcnty.com In the subject line indicate agency name, contract division (Disabilities Services) and "2013 budget forms" e.g. XYZAgency-DSD-2013 Budgetforms.xls**

Part 3: PROGRAM PROPOSAL
INSTRUCTIONS and FORMS

I. COMPLETE PARTS 2 AND 3 FOR EACH PROGRAM

A separate PART 2, BUDGET AND OTHER FINANCIAL INFORMATION and PART 3, PROGRAM DESIGN, must be completed **for each program** for which an agency is requesting DHHS funding. Agencies are required to submit a separate program proposal section, including all of the required submission items in PART 1, for each program, not for each site. If an agency offers a program at more than one site, Items 31 and 32 must be submitted **for each site**.

PROGRAM ORGANIZATIONAL CHART

ITEM # 29

Provide an organizational chart which shows, in detail, position titles and reporting relationships within the specific program being proposed. Include all positions for which funding is being requested.

PROGRAM LOGIC MODEL AND EVALUATION REPORT

(To be included In Initial Submission of ALL Proposals)

ITEM # 30a

Use single words or short phrases to describe the following:

Inputs: List the physical, financial, and human resources dedicated to the program.

Processes/Program Activities: List the services to be delivered, **to include any “Required Program Components” as described in the Program Requirements.**

Outputs: List the volume of processes/program activities to be delivered, **to include any “Expected Outputs” listed in Program Requirements (See Section 5 for Program Requirements).**

Expected Outcomes: List the intended benefit(s) for participants during or after their involvement with a program, **to include all “Expected Outcomes” listed in the Program Requirements**, as well as any additional outcomes already established for the program. If no “Expected Outcomes” are listed in the Program Requirements, Proposer shall identify their own expected outcomes for the program. Proposer identified expected outcomes must reflect increases, decreases, or maintenance of knowledge, skills, behaviors, condition, and/or status.

Indicators List the measurable approximations of the outcomes you are attempting to achieve, **to include any required “Indicators” listed in the Program Requirements.** Indicators are the observable or measurable characteristics which indicate whether an outcome has been met, which shall be expressed by number and/or percentage.

For more examples of Inputs, Processes, Outputs, and Outcomes, see DHHS Outcomes Presentation, March 16, 2006, at: <http://county.milwaukee.gov/ContractMgt15483.htm> (Look under “Reference Documents”)

Projected Level of Achievement-Using column F of your Program Logic Model (Item 30a), identify the number and percentage of participants you project will achieve each “Expected Outcome” for each program proposed.

Describe methods of data collection proposed. Describe how consumers and community members are integrated into the process of evaluating the program, as appropriate, e.g., through satisfaction surveys, board and committee membership, public forums, etc. Include copies of any instruments used to collect feedback from consumers or the community. Give a specific example of how the results of this feedback have been used.

PROGRAM LOGIC MODEL and ANNUAL EVALUATION REPORT (Sample) ITEM # 30a

A	B	C	C1	D	E	F	G	H					
Inputs	Processes/Program Activities	Outputs	For evaluation report	Expected Outcomes	Indicators	Projected level of achievement	For evaluation report						
			Actual level of achievement				Actual level of achievement	Description of changes					
<i>example</i>	Staff	32 unduplicated clients will participate in 500 community living experiences.		Outcome 1: Clients increase awareness of community resources.	Number and percent of clients who demonstrate an increase in awareness of community resources, as measured by pre and post test scores	24 (75%) of clients will achieve the outcome							
	Clients								Outcome 2: Clients increase utilization of public and private services in their community.	Number and percent of clients who demonstrate an increase in utilization of public and private services in their community	24 (75%) of clients will achieve the outcome		
	Community sites (list major ones)												
	Community living curriculum			Outcome 3: Clients generalize acquired skills to other home and community living situations	Number and percent of clients who generalize acquired skills to other home and community living situations	24 (75%) of clients will achieve the outcome							
Transportation (vans)	Staff conduct pre and post activity workshops to teach and support clients' involvement in community life												

Items 30a and b partially comprise the points scored under Service Plan and Delivery

PROGRAM LOGIC MODEL and ANNUAL EVALUATION REPORT

ITEM # 30a

A Inputs	B Processes/Program Activities	C Outputs	C1 For evaluation report Actual level of achievement	D Expected Outcomes	E Indicators	F Projected level of achievement	G For evaluation report	
							Actual level of achievement	Description of changes

Items 30b and 30c & d (as applicable) partially comprise the points scored under Previous Experience

PROGRAM NARRATIVE

ITEM # 30b

Identify the name and number of the program for which you are requesting funding as it is identified in the *Year 2013 Fee For Service Guidelines: Program Requirements*.

Provide a narrative to adequately describe the program you are proposing. The Program Description Narrative MUST correspond with and derive from Item 30a, Program Logic Model.

Refer to the *Year 2013 Fee For Service Guidelines: Program Requirements* for all the required program components for the program you are proposing. In particular, each proposed program must include:

- All Required Program Components
- Required Documentation
- Expected Outputs
- Expected Outcomes
- Indicators

If no “Expected Outcomes” are listed in the Program Requirements, Proposer shall identify their own expected outcomes for the program. Proposer identified expected outcomes must reflect increases, decreases, or maintenance of the service recipients’ knowledge, skills, behaviors, condition, or status. Where indicated, programs must utilize Indicators as they appear in the Program Requirements, OR Proposer shall propose a minimum of one indicator for each “Expected Outcome”.

Using the table on the next page, describe the agency's ability to provide this program, and the agency's experience serving the targeted populations. Include any existing agency programs utilizing a similar service delivery system and the number of years the program has been in operation. Discuss past service experience with similar contracts. Specifically address recent and current experience in terms of program volume, target population, dollar amount of contract, and service mix (i.e., types of services provided).

Program Name	Funding period	Funder	Program volume	Target Population	Dollar amount	Service Mix

Items 30c or 30d, as applicable, partially comprise the points scored under Administrative Ability

Item 30c or 30d, as applicable, comprises the points scored under Outcomes and Quality Assurance

Agencies currently under contract with the Milwaukee County Department of Health and Human Services should not complete Items 30c and 30d: rather, these agencies must submit a complete copy of the latest program evaluation report for a service most similar to that contained in this RFP.

EXPERIENCE ASSESSMENT FOR NEW PROPOSER AGENCY

ITEM # 30c

For agencies with some history of funding, but without a current DHHS contract, submit this form. **This document shall be completed by a prior funder**, and is subject to verification.

If unable to get an Experience Assessment from a prior funder, proposer may submit alternate documentation to verify agency experience. Examples of alternate documentation include, but are not limited to: grant agreements, grant proposals, correspondence, contracts, evaluation reports, or annual reports. Please submit this information attached to form 29C. Also please provide contact information of the prior funder, i.e. contact person, title, phone number, and email address.

Performance Assessment for (Agency)_____

From (Funding Source)_____

Please provide the following information relating to Agency's history with Funding Source.

1. Name of Program _____

2. When and for how long did Funding Source fund this program? _____

3. Program volume: How many people did this program serve? _____

4. Target Population: What was the primary target population for this program? _____

5. What was the dollar amount provided by Funding Source? _____/year

6. What services were provided through this program? _____

7. Was this program funded through a federal, state or local funding stream under a cost reimbursement framework? (Y/N) _____

8. If no longer funding this program, why not? _____

EXPERIENCE ASSESSMENT FOR NEW PROPOSER AGENCY

ITEM # 30c Page 2

9. What level of program performance was achieved? Please calibrate your ratings according to the following scale:

- 0 Does/did not meet expectations
- 1 Meets/met very little of what is/was expected
- 2 Meets/met fewer than half of expectations
- 3 Meets/met more than half of expectations
- 4 Meets/met all expectations
- 5 Exceeds/exceeded all expectations

Please evaluate the following performance areas circling the number corresponding to the rating scale on previous page:

Appropriate use of budget
0 1 2 3 4 5 NA

Comments: _____

Achievement of established outcomes
0 1 2 3 4 5 NA

Comments: _____

Timely submission of program reports
0 1 2 3 4 5 NA

Comments: _____

Accurate submission of program reports

0

1

2

3

4

5

NA

Comments: _____

Signed,

Name (print)

Title

Phone

Email

**EXPERIENCE ASSESSMENT FOR NEW PROPOSER
ORGANIZATIONAL LEADERSHIP**

ITEM #30d

For new agencies, or for agencies without a contracting history of any kind, complete and submit this form. A separate form should be submitted for the *head of the organization, senior fiscal and program staff*. **This document shall be completed by a prior funder or by a prior employer**, and is subject to verification.

A separate form should be submitted for the *head of the organization and senior fiscal and program staff*. Please have a prior fundor or a prior employer complete the form(s).

If unable to get an Experience Assessment from a prior fundor, proposer may submit alternate documentation to verify organizational leadership. Examples of alternate documentation include, but are not limited to: current or previous position/job description, prior agency's mission statement, W2 form, or annual report. Please submit this information attached to form 29d. Also please provide contact information of the prior funder, i.e. contact person, title, phone number, and email address.

Performance assessment for (Individual): _____

From (Agency) _____

Please provide the following information relating to Individual's history with Agency.

1. Individual's title _____

2. When and for how long did Individual work for Agency? _____

3. Program volume: How many people were served by this program? _____

What was Individual's role in program administration?

_____ Direct _____ Indirect (supervision) _____ Limited or none

4. Target Population: What was the primary target population for this program? _____

5. What was the dollar amount provided by Funding Source? _____/year

What was Individual's role in fiscal management of the program?

_____ Direct _____ Indirect (supervision) _____ Limited or none

6. What services were provided through this program? _____

7. If no longer funding this program, why not? _____

EXPERIENCE ASSESSMENT FOR NEW PROPOSER LEADERSHIP

8. What level of program performance was achieved? Please calibrate your ratings according to the following scale:

- 0 Does/did not meet expectations
- 1 Meets/met very little of what is/was expected
- 2 Meets/met fewer than half of expectations
- 3 Meets/met more than half of expectations
- 4 Meets/met all expectations
- 5 Exceeds/exceeded all expectations

Please evaluate the following performance areas circling the number corresponding to the rating scale on previous page:

Appropriate use of budget

0 1 2 3 4 5 NA

Comments: _____

Achievement of established outcomes

0 1 2 3 4 5 NA

Comments: _____

Timely submission of program reports

0 1 2 3 4 5 NA

Comments: _____

Accurate submission of program reports

0 1 2 3 4 5 NA

Comments: _____

Signed, _____

Name (print) _____

Title _____

Phone _____

Email _____

2013 PROVIDER SERVICE SITE INFORMATION

ITEM #31

Provide a separate sheet for each site location where services are provided.

Agency Name:	Site Name:
Site Address:	City/State/Zip:
Site Contact Person:	Title:
Phone:	Email:
Fax:	

Describe differences in programs or services available at this site:

Total number of unduplicated consumers you are presently able to serve at any one time: _____

Total number of unduplicated consumers you are currently serving: _____

Please check if your agency provides the following at this site:

___ Programs for men ___ Programs for women ___ Programs for men & women

___ Services for pregnant women

___ Services for families with children ___ Childcare provided

___ Services for Persons Involved in the Criminal Justice System

___ Services for the Developmentally Disabled

___ Services for the Physically Disabled

___ Services for persons with co-occurring mental health and substance use disorders

___ Wheelchair accessible

Hours of operation: ___ for specific program ___ for all programs at this site

___ Monday:

___ Tuesday:

___ Wednesday:

___ Thursday:

___ Friday:

___ Saturday:

___ Sunday:

___ Emergency contact available 24 hours ___ Emergency number _____

Item 32 partially comprises the points scored for Administrative Ability

STAFFING PLAN

ITEM # 32

Describe the staffing plan and its relationship to the volume of clients or services to be provided. Describe in terms of staff to client ratios, client volume or case load per staff, or how many staff are needed to perform a particular activity. Any program with the potential to require 24-hour coverage must submit a detailed description of how, by staff position, coverage will be provided.

Agencies providing services at more than one site must include a description of the staffing pattern for each site, if different. If the staffing pattern is the same for each site, include a statement to that effect.

Items 32 and 33 partially comprise the points scored under Staffing Plan

YEAR 2013 STAFFING REQUIREMENTS-DIRECT SERVICE STAFF

ITEM # 33

Indicate the number of staff **directly related to achieve your objectives for the program(s) you are applying for**, as indicated by codes 02 and 04 on Forms 2 and 2A. **Executive staff providing direct services to clients should be budgeted as either “Professional Salaries” or “Technical Salaries” on Budget Forms 2 and 2A.** Provide a job description plus necessary qualifications for each direct service position (sections A & B) (make additional copies as necessary). **Complete the attached roster (item 34) for current staff working in each program for which a proposal is being submitted.** If the position is unfilled at the time of proposal submission, indicate the vacancy and provide updated staffing form within 30 days of when position is filled. **For New Applicants for this program, submit calculations showing the agency-wide average of in-service/continuing education hours per direct service provider in the previous year.**

PROGRAM _____ 2013 PROGRAM No. _____

POSITION TITLE _____ NO. OF STAFF: _____

Job Description for this position as required to meet the needs of the program specifications. Include qualifications needed to perform job (including certifications or licenses and experience requirements to perform the job). Attach separate sheet, if necessary.

Annual tuition reimbursement granted for this position: \$ _____

Actual total hours worked for all employees in this position for the 12 months prior to completing this application: _____

Annual turnover for *this position (all employees, full and part-time)*, as measured by total number of separations (including voluntary and involuntary) from this position in the twelve months prior to completing this proposal divided by the total number of employees budgeted in this position for the twelve months prior to completing this proposal (show calculation):
_____/_____=_____

For New Applicants for this program who may not have had previous history employing individuals to provide these services, provide annual turnover for the agency as a whole (show calculation):
_____/_____=_____

CURRENT DIRECT SERVICE PROVIDER AND INDIRECT STAFF (DSP) ROSTER ITEM # 34

ITEM 34 is available as a download from: http://county.milwaukee.gov/DHHS_bids
This form should be submitted electronically along with the budget spreadsheet.

PROGRAM EVALUATION (No Submission Required with Proposal)

ITEM # 36

For agencies with 2012 DHHS purchase contracts, annual evaluation reports for the twelve-month period ending June 30, 2012 are due by Friday, August 3, 2012. Evaluation Reports for the DSD Early Intervention Birth to Three Program will continue to be due semiannually on January 31st and July 31st of each year. Compliance with this contract requirement constitutes “submission” of this proposal Item. Evaluation reports must conform to the following, in format and content:

Using Column G of your Program Logic Model (Item 30a) for the current year’s program, identify the number and percentage of participants who have achieved each “Expected Outcome” for each program delivered. Using the Program Logic Model, the evaluation reports must consider actual outcomes achieved against outcomes projected in the logic model and must include a copy of the measurement tool (e.g., pre/post test, etc.) used to measure the achievement of the outcome. Using Column H of your Program Logic Model (Item 30a), describe modifications to program and/or indicators and/or projected level of achievement for future reporting periods, based on the findings of the evaluation.

Describe methods of data collection used. Describe how consumers and community members have been integrated into the process of evaluating the program, as appropriate, e.g., through satisfaction surveys, board and committee membership, public forums, etc. Include copies of any instruments used to collect feedback from consumers or the community. Give a specific example of how the results of this feedback have been used.

Unless otherwise indicated in the Program Requirements, Evaluation Reports for the 12 months ending June 30, 2013 are due August 2, 2013. For new contractors, evaluation reports are for the 6 months ending June 30, 2013, or six months from the start date of the contract.

The Evaluation Reports must be submitted electronically to DHHSCA@milwcnty.com in either Excel, Word, or PDF format. In order to ensure that the appropriate division receives the Evaluation Report, the subject line must include the Agency Name, Contracting Division, and Program Title to which the report applies.

In addition to the electronic submission, the evaluation reports may also be submitted to the following persons:

Behavioral Health:

Stefanie Erickson
Contract Srvcs Coordinator
Behavioral Health Division
9201 W. Watertown Plank Rd.
Milwaukee, WI 53226

Management Services:

Diane Gallegos
Contract Srvcs Coordinator
Management Services Division
1220 W. Vliet St.,
Milwaukee, WI 53205

Housing:

Stacey Bielski
Special Needs Coordinator
Housing Division
9201 Watertown Plank Rd, 339C
Milwaukee, WI 53226

Delinquency and Court Services:

Peter Madaus
Contract Services Coordinator
DHHS Contract Administration
1220 W. Vliet Street
Milwaukee, WI 53205

Disabilities Services:

Darsell Johns
Children’s Program Manager
Disabilities Services
1220 West Vliet Street, Suite 300H
Milwaukee, WI 53205

Item 37 partially comprises the points scored under Cultural Diversity and Cultural Competence and under Staffing Plan.

CLIENT CHARACTERISTICS CHART

ITEM # 37

ETHNICITY DEFINITIONS

1. **Asian or Pacific Islander:** All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands. This area includes China, Japan, Korea, the Philippine Islands and Samoa.
2. **Black:** All persons having origins in any of the Black racial groups in Africa.
3. **Hispanic:** All persons of Cuban, Mexican, Puerto Rican, Central or South American, or other Spanish culture or origin, regardless of race. (Excludes Portugal, Spain and other European countries.)
4. **American Indian or Alaskan Native:** All persons having origins in any of the original peoples of North America, and those persons who maintain cultural identification through tribal affiliation or community recognition.
5. **White:** All persons who are not Asian or Pacific Islander, Black, Hispanic, or American Indian or Alaskan Native.

HANDICAPPED DEFINITIONS

A handicapped individual is defined pursuant to Section 504 of the Rehabilitation Act of 1973.

1. Any person who has a physical or mental impairment which substantially limits one or more major life activities (e.g., caring for oneself, performing manual tasks, walking, seeing, hearing, speaking, breathing, learning, and working);
2. Any person who has a record of such impairment; or,
3. Any person who is regarded as having such impairment.

Describe your data source for completing this form. If your projected client composition differs from your previous year's actual client composition, describe the basis for the difference.

2013 CLIENT CHARACTERISTICS CHART

ITEM # 37

Agency Name		
Disability/Target Group		
Program Name		2013 Program #
Facility Name & Address		

CY 2013 Estimated

1. Unduplicated Count of Clients to be Served/Year (Form 1, Column 1). If your estimate differs from prior year actual, provide an explanation on a separate attached page:

	Number	Percent (%)	Prior year actual
2. Age Group: a. 0 - 2			
b. 3 - 11			
c. 12 - 17			
d. 18 - 20			
e. 21 - 35			
f. 36 - 60			
g. 61 & over			
TOTAL			

3. Sex: a. Female			
b. Male			
TOTAL			

4. Ethnicity: a. Asian or Pacific Islander			
b. Black			
c. Hispanic			
d. American Indian or Alaskan Native			
e. White			
TOTAL			

5. Other: a. Handicapped individuals			
b. Not applicable			
TOTAL			

Date Submitted:	
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The total in each category must be equal to the number in Form 1, Column 1, Total Number of Cases (Clients) to be served per Year.

(Rev 9/07)

PART 4: OVERVIEW OF PROPOSAL REVIEW PROCESS

PROPOSAL REVIEW AND SCORING CRITERIA

MILWAUKEE COUNTY DEPARTMENT OF HEALTH AND HUMAN SERVICES
REQUEST FOR PROPOSAL REVIEW PROCESS

I. Proposal Review Panel Selection and Representation

A. Proposal Review Panel Selection

Proposals to provide services under a purchase contract for the Department of Health and Human Services shall be evaluated by panel members with familiarity and/or experience in the field of social/human services. Panel members and their immediate families (Spouse, Parent, Child, Sibling or Significant Other) may not have any familial, official, board member, employment, fiduciary or contractual relationships with organizations currently funded by Milwaukee County in the program area for which the Proposer has applied, or hold any ownership, contractual or employment interests in the Proposer or its subsidiaries under consideration. At the discretion of DHHS division administrators, respective program, quality assurance and contract administration staff will serve on review panels. Staff will not comprise the majority of panel members. Outside panel members will be selected from various sources including the following:

- community volunteers and representatives;
- representatives of professional and educational organizations;
- representatives of community councils and advocacy organizations.

Recommendations of persons to serve on proposal review panels are welcome from appropriate governmental entities, i.e., Community Business Development Partners, etc.

B. Proposal Review Panel Representation

Panel representation to review proposals submitted for contract recommendations shall include:

- minority and culturally diverse representation;
- consumer / service recipient representation or their guardians, if applicable.

The primary role of Department of Health and Human Services program division staff shall be to serve in a consulting capacity to panel members. Respective division staff shall convene the panel at a specific time and place to discuss the review process in a group setting, and, following the review, to finalize the proposal ratings prior to averaging the scores. Staff, as consultants, shall provide responses to program and procedural information including:

- past performance of a Proposer;
- Proposer's problem solving and responsiveness to issues;
- program knowledge;
- program needs; and,
- program outcomes and performance reviews.

Using the established review criteria, representatives participating on a review panel will score each proposal independently on a preliminary basis, with the final proposal analysis reporting an average score of the proposal.

1. Panel representation for **more than one proposal** submitted to provide the same program or service for the DHHS will include a **minimum of three members**. The panel shall be comprised of as broad a base of community, minority and culturally diverse, consumer/service recipient representation as possible. Based on the discretion of division administrative staff, or on program factors, number of proposals submitted, and minority and culturally diverse representation, etc., panels may be comprised of more than three members including one program or quality assurance staff, and one contract administration staff. Staff will not comprise the majority of panel members.
2. Panel representation when **only one proposal is submitted** to provide a particular program or service will be **no more than two members**. The panel for only one proposal submitted to provide a program or service may be comprised of just one member if the member is a community representative. Alternately, if only one proposal is received and the proposer is an incumbent agency that is the current provider of the program services for which proposals are being requested, DHHS may convene a panel of two members to score the proposal; however, both panel members may be DHHS staff and a community representative is not required. If only one proposal is received, and the proposer is not an incumbent agency, the panel will be comprised of no more than two members, and at least one member must be a community representative.
3. Though there is not a competitive review process for programs and services purchased by the DHHS on a multi-year funding cycle or designated provider agencies, the agencies submitting proposals for all divisions are required to submit proposal items identified in the *Fee For Service Guidelines: Technical Requirements*. Program, quality assurance and/or contract administration staff will perform a screening of items submitted by agencies in this category.
4. If an agency with a current contract is the only Proposer for the same program only an internal review and scoring will take place.

II. General Guidelines

- A. The role of the review panel is to rate proposals against the published scoring criteria. These ratings are forwarded to Division Administrators who may accept or dispute them. If a Division Administrator disputes a review and scoring panel's scoring, the panel shall be apprised of the item in dispute, the related criterion and the basis for the dispute. The panel shall then be reconvened to discuss and evaluate the basis for the dispute and make a determination to uphold or modify their original rating based on any new information presented.

- B. The primary measure of the quality of the Proposer's proposal will be specific examples of successful previous experience which relates to the various items in the proposal. Successful previous experience will be measured and scored based on the current and recent County contract performance of Proposers, or, for new Proposers, current and recent non-County contract performance, or, for new organizations, the current and recent experience of senior staff at Proposer's agency.
- C. The review process may include verification of assertions made by the Proposer in the proposal, including but not limited to site visits, record review and interviews and reference checking. The County reserves the right to contact any or all Proposers to request additional information for purposes of clarification of RFP responses.
- D. Reviewers will score proposals against the published criteria, and will not consider non-published criteria.
- E. Criteria to be considered in evaluating proposals include the Proposer's ability to provide the proposed program, the Proposer's proposed program relative to that proposed by other Proposers, and the Proposer's proposed cost to provide the program or service compared to the cost proposed by other qualified Proposers.
- F. For omissions of requested items, Proposers will have scores reduced to 0 for any corresponding review line item, or for requested items which do not have an associated review line item, will receive a reduced score under the "Administrative Ability" section. However, omission of certain requested items may result in proposals not receiving any further consideration.
- G. Division Administrators may consider factors other than scoring in making contract recommendations.

III. Proposal Review and Scoring Criteria for ALL contract divisions

- A. **Administrative Ability - 12 percent.** The Proposer demonstrates evidence of administrative capacity to meet federal, state, county and creditor requirements, including timeliness of required submissions and payment of obligations. Proposer demonstrates an ability to provide timely and accurate monthly client and financial reports. Proposer demonstrates an ability to be responsive to crisis situations, including, but not limited to, variations in client referral volume and serving exceptional cases.

In scoring proposals, for agencies currently under contract with DHHS, reviewers will consider the on time and accuracy rate of Proposer in prior year's required submissions, as well as the most recent program evaluation report submitted with the proposal. For new Proposers, reviewers will consider the on time and accuracy rate of Proposer as described by the person providing the required Experience Assessment report (item 30c or 30d). Additionally, in scoring proposals for Administrative Ability, reviewers will consider the accuracy

and completeness of the proposal. Inaccurate or incomplete proposals will receive reduced scores.

In scoring Administrative Ability, reviewers will consider the size, structure, experience, and independence of the board of directors and officers.

The Proposer demonstrates comprehensive emergency preparedness. For full points, Proposer has an existing emergency management plan which includes all required elements, has been tested, and includes specific examples of memoranda of agreement or other formal arrangements for continuity of operations, client care, etc.

Administrative Ability will also be scored based on reviewers' prior experience, if applicable, with Proposer relating to these criteria.

- B. **Budget Justification - 13 percent.** The Proposer provides a budget that is accurate, clear, and in sufficient detail. The budget effectively and efficiently supports the level of service, staffing, and the proposed program. The Proposer's proposed cost to deliver the service, compared to other Proposers, reflects the quality and quantity of service to be provided. The reviewer's analysis will include: unit cost comparisons and/or budget overview, total number of units of service to be provided, any limitations on the total number of clients to be served during the contract period.

Budget Justification will also be scored based on reviewers' prior experience, if applicable, with Proposer relating to these criteria.

- C. **Cultural Diversity and Cultural Competence - 9 percent.** The program takes actions that show its commitment to the goals of cultural diversity and cultural competence in the workplace, including diversity in staffing practices and Board/committee composition as well as serving a culturally diverse population in a culturally competent manner.

In evaluating Cultural Diversity in proposals, reviewers will consider the representation of racial and cultural minorities in board and staff relative to the representation of racial and cultural minorities in the projected target population, as measured by data on forms Board of Directors, Owners, Stockholders Demographic Summary (Item 5), Client Characteristic Chart (Item 37) and Employee Demographics Summary (Form 2B, Item 28). For full points, Proposer must demonstrate a ratio of board and staff which is greater than or equal to the ratio of racial and cultural minorities in the projected target population. If Proposer receives less than full points for this item, one point will be added to the score if the Proposer can demonstrate proof of specific action(s) taken within the previous year geared toward increasing board or staff diversity. The action(s) taken must be supported with documentation.

In evaluating Cultural Competence in proposals, reviewers will consider the Proposer's proposed methods for developing and maintaining Cultural Competence as well as the Proposer's history of performance in this area. (Item

23) Proposer must provide specific examples of existing and/or proposed policies, procedures, and other practices, if any, which promote Cultural Competence. For full points, Proposer will have a history of promoting Cultural Competence. Examples of acceptable policies, procedures, and practices can include, but are not limited to: providing in service or other training, or involvement of consumers in policy-making, planning, service delivery, and/or evaluation.

Cultural Diversity and Cultural Competence will also be scored based on reviewers' prior experience, if applicable, with Proposer relating to these criteria.

- D. **Previous Experience – 13 Percent.** The Proposer's experience demonstrates the ability to provide the proposed service to the target group. For Proposers without prior Milwaukee County experience, information will be gathered from Performance Assessments provided by the Proposer following a prescribed format. Documented non-performance or noncompliance under previous contracts will be taken into consideration.

In evaluating experience in proposals, reviewers will consider:

Past Service Experience with similar contracts. Similarity to be measured by looking at specific, detailed examples of **successful** current or recent contracts in terms of: 1) program volume, 2) target population, 3) dollar amount of contract, and 4) service mix. For full points, Proposer currently successfully operates a program which meets or exceeds these four criteria. In evaluating "success" reviewers will consider the content of evaluation and other program reports, as well as Quality Assurance findings and corrective action plans, as applicable.

Previous Experience will also be scored based on reviewers' prior experience, if applicable, with Proposer relating to these criteria.

- E. **Mission– 5 Percent.** The Proposer has a clear and distinct mission and goal statement for its agency which is aligned with that of the contract division applied to.

Mission and Goals will also be scored based on reviewers' prior experience, if applicable, with Proposer relating to these criteria.

- F. **Outcomes and Quality Assurance – 13 Percent.** For Proposers with a current or recent County contract, scoring will be based on compliance with submission deadline, required content and overall findings of program evaluation reports for current contract period. For new Proposers or Proposers without a current DHHS contract within the last two years, scores will be derived from item 30c or 30d as applicable.

Outcomes and Quality Assurance will also be scored based on reviewers' prior experience with Proposer, if applicable relating to these criteria.

G. Service Plan and Delivery – 23 Percent.

Review and scoring and scoring of the Service Delivery Plan will consider its:

- Consistency with program objectives as defined by DHHS in the Year 2013 Fee For Service Guidelines Program Requirements and the contract agency.
- Rationale and theories supporting the program activities. Proposers should use research or other evidence-based support for their program model.

There is a performance improvement plan, which includes measurement of outcomes, and demonstrated use of performance information to improve services and program management. For full points, Proposer must describe service delivery in terms of inputs, processes, outputs, and outcomes, and indicators as described in Items 30a and b.

Service Delivery Plan will also be scored based on reviewers' prior experience, if applicable, with Proposer relating to these criteria.

H. Staffing Plan – 12 Percent. The Proposer demonstrates an ability to provide effective staffing and agency oversight, including board review and direct service staff supervision. Staffing levels are adequate, and staff is adequately compensated. Staff are licensed and certified as appropriate, or meet other required qualifications. Direct service staff is appropriately experienced. Proposer's turnover rate of direct service staff and training for direct service staff will be compared and ranked against the other Proposers' proposals. Compensation of lowest paid staff will be compared and ranked against the other Proposers' proposals.

Proposer must include average years of experience and turnover rate for direct service staff. For new agencies without a prior contracting history of any kind, Proposer must indicate the required years of experience for direct service staff proposed for the program. Proposer must indicate what type of training is available to staff, including in-service training, tuition reimbursement (if applicable) benefits and utilization, and other training activities such as conference attendance, etc. For full points, Proposer must indicate the specific type and quantity of training available and utilized by direct service staff during the previous year, and the type and quantity is appropriate.

Staffing Plan will also be scored based on reviewers' prior experience, if applicable, with Proposer relating to these criteria.

TOTAL SCORE 100 PERCENT

DISABILITIES SERVICES DIVISION

SECTION 5:

PROGRAM REQUIREMENTS

5. PROGRAM REQUIREMENTS

Disabilities Services Division

The following programs are open for competitive proposals for the 2013 contract period

CLTS CARE MANAGEMENT

Program DSD-022

Case Management Service Requirements for Providers

Providers of case management services to clients of the Milwaukee County Department of Health and Human Services (DHHS) must comply with the following requirements during the period of the agreement. Case management responsibilities, services, requirements, limitations and exclusions are based on the definitions and standards contained in the State of Wisconsin Medicaid (MA) Community Waivers Manual, SPC 604 (which follows starting on page 11 of this Attachment). *Failure by the Provider to abide by any of the service requirements will be regarded as grounds for suspension and/or termination of the agreement.*

Conflict of Interest: Under this agreement Providers may not become the provider of case management services for any client who is currently receiving services from the Provider agency.

1. Case Management Responsibilities

Case management services include responsibility for locating, managing, coordinating and monitoring all proposed waiver services, other services and informal community supports needed by eligible persons and their families. The intent of case management services is to enable waiver participants to receive a full range of appropriate services in a planned, coordinated, efficient and effective manner in the least restrictive environment.

2. Case Management Services

Case management services consist of the following activities: information and referral, arranging for provision of services, completion of level of care documents, monitoring and review of waiver eligible services, service coordination, crisis intervention, case counseling, case planning, assessment, diagnosis and referral assistance to recipients to locate safe and appropriate housing, follow-along to

ensure quality of care and case reviews which focus on client progress in meeting goals and objectives established through the case plan. Services that are typical for this program may be an integral, but subordinate, part of other programs when the client is receiving services in only one other program.

3. Service Requirements/Limitations/Exclusions

- a. Optional targeted case management under the Wisconsin MA State Plan is not a covered service to waiver recipients.
- b. Case management is a required service. The agency providing services will be responsible for ensuring the provisions of case management for each individual referred are met.
- c. Ensure a qualified case manager provides case management services.
- d. The minimum requirements regarding the provision of case management are:
 - 1) Monthly collateral contact
 - 2) Direct recipient or collateral contact required every other month
 - 3) Face-to-face recipient contact every three months
 - 4) A response to any crisis situation
- e. In some cases, to assure health and safety, more frequent contact may be required.
- f. Direct contact with the recipient includes written, telephone or face-to-face contact. A collateral contact includes written, telephone or face-to-face contact with a recipient's family member, medical or social service provider, or other person with knowledge of the recipient's long-term care needs.
- g. Each recipient's case record must contain documentation that the minimum case management requirements have been met.
- h. The Provider must assure continued case management services for each client in the event of the absence of the client's assigned case manager, (i.e. vacation, sick or family leave, resignation.)
- i. The Provider must develop a plan to retain case managers to assure minimal disruption of client services and minimize staff turnover.
- j. The following are examples of activities *not* covered as case management services. (Wisconsin Medicaid may cover some of these activities under another Medicaid benefit. Example: some skill training may be covered under the community support program benefit.) Activities not covered as case management services include, but are not limited to:
 - 1) Medication set-up
 - 2) Money management
 - 3) Skill training
 - 4) Taking a client shopping
 - 5) Transporting clients (except as noted: On occasion, case managers are expected to accompany recipients to services. The purpose is both to ensure that the service provider is aware of the overall case plan and to monitor the services the provider is delivering. If the case manager transports the recipient on these occasions, Wisconsin Medicaid covers this transportation under case management. Driver's license and auto insurance of either the worker or agency with adequate coverage must be kept up to date for case managers to transport clients in their own or the agency's vehicle.)

4. Service Coordination

As part of their case management responsibilities, Providers will be expected to perform the following coordination tasks:

- a. Coordinate services in accordance with the Individual Service Plan initiated by the DSD.
 - b. Inform DSD of any changes in the client's Individual Service Plan.
 - c. Request that DSD review and receive approval from DSD for changes in the ISP that increase the cost of services or change in level of care.
 - d. Work cooperatively with the client's support network (family, friends, neighbors) to include the client's individual choices and strengths and maintain or allow for growth of the client's independence with daily living skills.
 - e. Where appropriate, maintain contact with the client's legal guardian, to assure that the client's needs are being met.
 - f. Complete the annual WATTS review for clients who have a Chapter 55 protective placement order.
 - g. Work cooperatively with other community agencies and service providers to monitor client services.
5. Communication with DSD Staff
Providers must maintain regular and appropriate contact with DSD to assure that client needs and agreement expectations are being met. Expectations include the following:
- a. Attend all program orientations and training provided by DSD.
 - b. Attend DSD meetings
 - c. Update DSD of all support services being provided to a client, the providers of these services and whether there may be unmet client needs.
 - d. Secure written approval from DSD for any change in the client's living situation.
 - e. Inform DSD within 24 hours in the event of the death of a client.
 - f. Inform DSD within 48 hours of all hospitalizations, other facility admissions, and significant physical injuries or of changes in a client's medical, physical or mental health status that may impact the client's service plan.
6. Documentation Responsibilities
Providers must maintain updated appropriate client files and complete all required case documentation. This includes the ability to accurately complete, often complex, paperwork and documentation in a timely manner to meet Medicaid Waiver program requirements. Specific documentation responsibilities include:
- a. Current documentation regarding all face-to-face contacts and collateral contacts regarding clients, including support services providers, the client's informal support network and legal guardians, where appropriate.
 - b. Timely completion of appropriate documents for annual renewal of each client's Medicaid Waiver recertification.
 - c. Development and completion of the Patient Plan of Care (PPOC) for each client.
 - d. Completion of each client's Level of Care determination in accordance with Medicaid Waiver guidelines.
 - e. Completion of all medically related documents in accordance with Medicaid Waiver guidelines.
7. Personnel Standards
Case managers must have the skills and knowledge that would be typically acquired through a course of study leading to a four-year academic degree in social work, psychology, nursing, rehabilitation or behavioral disabilities or a related field and at least 2 years experience coordinating client services in the field of developmental disabilities or a related field. The case manager shall be knowledgeable concerning

the service delivery system and the resources available to an individual with a disability. The case manager shall be responsible to the director of the Provider agency and their immediate supervisor of the Provider agency.

The Provider must have qualified case management capacity and the ability to manage cases. Resumes of case management and supervisory staff must be on file and submitted to DSD upon request. The Provider must inform DSD of all changes in case management and supervisory personal to assure qualified program staffing.

The Provider must provide a plan for supervision of case management staff. Supervisors of case management personnel must, minimally, have all the aforementioned qualifications required for case management staff. Additionally, at least 2 two years supervisory experience and/or experience in a leadership role in a disabilities program is preferred.

8. Skills and Knowledge of Case Management Personnel

Case managers and their supervisors should have at minimum the following qualifications:

- a. Proven ability and experience in working with persons with disabilities and knowledge of available services and community resources.
- b. Knowledge of Wisconsin's long-term support funding sources.
- c. Knowledge of Medicaid Waivers Program documentation requirements and the ability to complete complex paperwork and documentation in a timely manner to meet the Medicaid Waiver program requirements.
- d. Working knowledge of service systems for persons with disabilities and ability to communicate effectively with a variety of staff and agencies.
- e. Ability to organize, monitor and coordinate a variety of client services as specified in a client's Individual Service Plan.
- f. Ability to intervene on client's behalf and work cooperatively with the support networks of the client to include the client's choices, strengths and independence with daily living skills.
- g. Knowledge of medical and psychosocial needs of persons with disabilities.
- h. Experience working with culturally diverse populations.

9. Supervision of Case Management Personnel

- a. Provider agrees to provide at least one supervisor to oversee and manage staff providing case management services.
- b. Provider will designate one supervisor for every 6 FTE case managers employed to service clients referred by DSD.
- c. That supervisor shall not carry or maintain a regular caseload. In the event supervisors are in the position of coverage due to staff loss, Milwaukee County DSD Management must be notified in writing. Under no circumstances shall the supervisor carry a caseload for more than two weeks without prior written approval of Milwaukee County DSD Administration.
- d. Additionally, care management supervisors may not be assigned to supervise other programs within the agency.
- e. The following are the duties and responsibilities of Supervisors:
 - 1) Attend meetings as requested with the Milwaukee County DSD Management Team.
 - 2) Keep Milwaukee County DSD informed of emergency or critical incidents and submit the necessary critical incident paperwork.

- 3) Monitor all court-related activities, i.e. completion of annual WATTS reviews and attendance at court hearings as needed. Forward completed WATTS reviews to the designated DSD WATTS coordinator.
- 4) Monitor service utilization, review monthly case notes and provide feedback to case managers and Milwaukee County DSD as requested.
- 5) Notify Milwaukee County DSD of all staff changes.
- 6) Maintain accountability for all Milwaukee County DSD Policies and Procedures.
- 7) Ensure that accurate family demographic information is maintained by the case managers and changes reported to Milwaukee County DSD
- 8) Provide orientation and training in case management processes to all new case coordinators, promoting individualized care and use of natural supports.
- 9) Provide regularly scheduled team meetings to share information regarding Milwaukee County DSD issues.
- 10) Provide case managers with tools to maintain safety, i.e. cell phones, pagers, inservices on community safety, and remain receptive to case manager's needs around community safety.

- 11) Maintain a call system Monday through Friday, 8:00 am to 4:30 pm, to assure families' access to case managers
- 12) Participate in mandatory trainings and offered inservices and assure that case managers do the same.
- 13) Provide coverage for case managers, as needed.
- 14) Maintain internal client records related to Milwaukee County DSD Clients using recommended chart format dividers.
- 15) Notify Milwaukee County DSD when a new case manager has been hired, providing DSD with the name and date hired, as well as their qualifications and contact information.
- 16) Notify Milwaukee County DSD when a case manager resigns, has a change in name or change in phone, pager or cell phone number.
- 17) Maintains employee files, which include the case manager's resume and proof of qualifications. Milwaukee County DSD maintains the right to periodically audit agencies to assure adherence.
- 18) Complete a state-wide background check on all potential employees in adherence to the County Board's Resolution regarding background checks, in addition to the Wisconsin Caregiver Laws.

10. Identification of Eligible Clients

DSD determines the eligibility of clients appropriate for referral to and services from the Provider agency and such services may be provided only to clients authorized in writing by DSD. Providers may not serve as case manager to clients already receiving other services from their agency. Providers may not refer case management clients to support services within their own agency. Providers will be responsible for notifying DSD of any cases that may be referred to them for whom they are already providing other services.

11. Reporting Suspected Abuse or Exploitation

All Provider staff working with clients referred by DSD must report suspected neglect, abuse or exploitation to the DSD Resource Center (289-6660). Additionally, support service staff of agencies working with DSD clients of the Provider agency must be informed that they must report suspected neglect, abuse or exploitation of the client

to the Provider agency. Subsequently, the Provider agency will report these cases to DSD. Providers must also complete and send a "critical incident report" to the DSD Liaison.

12. Notification of Change in Client Condition and/or Living Situation

All DSD Waiver clients referred to the Provider agency will be residing in one of the following community living arrangements: 1) a house, apartment or other private residence, 2) a certified adult family home, 3) a licensed foster home, or 4) a licensed CBRF of four or fewer beds. The Provider must notify DSD of any short or long-term changes in a client's living situation and any changes in legal guardianship. DSD reimbursement to the Provider will be suspended for the duration of time a client may spend in a Medicaid-funded facility. Specifically, the Provider is expected to:

- a. Give notice to DSD within 48 hours of all hospitalizations or other facility admissions, significant physical injuries or of changes in a client's medical, physical or mental status, which may impact upon the client's service plan. In the case of the death of a client, the Provider must notify DSD within 24 hours of the death.
- b. Secure written approval from DSD for any changes in the client's living situation.
- c. Give a 30-day written notice to the client, client's guardian or designated representative of changes in the client's living situation approved by DSD.

13. Records/Documentation of Services Provided

The Provider must maintain adequate written records and/or documentation of all services provided to DSD clients and the cost of these services and all documentation related to client's eligibility for Medicaid Waiver. Records shall include, at minimum, all of the following:

- a. The Service Plan Packet including the PPOC, functional screen, Medicaid Waiver eligibility, Waiver recertification, narrative summary, needs assessment and the Individual Service Plan (ISP) and documentation of required 6-month reviews.
- b. Copies of any contracts or formal agreements with outside agencies or professionals who are providing care or services to DSD clients.
- c. A record of supportive care and services provided to the client, including a description of the care or service provided, date provided and name of employee or agency who provided care and date service was terminated, if appropriate.
- d. Copies of all correspondence between the Provider agency and DSD relating to the client.
- e. Name/s of client's physician/s and other medical providers including their addresses and phone numbers.
- f. Results of initial and annual health assessments or medical examination, significant conditions and illness reports.
- g. A training log indicating all training provided to staff during the period of the contract. The log should include the name(s) of employee(s) receiving training, type of training received, date(s) training was provided, and the name(s) of trainers and agency affiliation.
- h. A record of payments made to the Provider by the client, including copies of the receipts.

- i. Documentation of the explanation of client's civil rights and copies of all documents and notifications required by federal, state, and local civil rights laws.
 - j. Name of the client's legal guardian, (if appropriate) and at least two relatives or other persons who have played a significant role in assisting in the client's care arrangements, including their addresses and phone numbers.
14. Prohibition on Provider's Employees or Owners Serving as Client Guardians
The Provider and employees or relatives of the Provider may not serve as the legal guardian of DSD clients receiving case management services from the Provider agency.
15. Prohibition of Provider Agency Employees Serving as Client's Representative Payee
Employees or relatives of the Provider agency may not serve as Representative Payee for DSD clients receiving case management services from the Provider.
16. Client Rights
The Provider must respect client rights and adhere to the requirements of the Medicaid Community Waivers Manual, 7.01, 7.02 and 7.04. The requirements are as follows:
- a. Responsibility for Notification of Rights: It is the responsibility of the Provider to inform all clients of their rights verbally and in writing. The explanation of rights shall be provided in a manner in which they can understand.
 - b. Extent of Notification: Clients must be fully informed of the county's grievance and state appeals procedures, including whom to contact and time limits for appeals. Information on the right to appeal must include the name and address of the DHHS Office of Administrative Hearings. The notice must also inform the person of the right to contact the Board on Aging and Long Term Care (BOALTC) Ombudsman Program and the Wisconsin Coalition for Advocacy, including the toll free numbers, for assistance at any time.
 - c. Notice of Reduction or Termination: One may not reduce or terminate services to a client without giving the participant a 10 day notice of the reduction or termination as well as appeal information. When informing a participant of his/her right to a state appeal, one must cite Chapter 227 of State Statutes.
17. Coordination of Client Services with DSD and other Providers
Provider will coordinate case management services with DSD and providers of other services with the goal of affording clients the opportunity to receive other needed services and to participate in the community to the fullest extent possible. This includes the scheduling of staffing's at the Provider agency and attending staffing's at the location(s) of other providers of service.
18. Required Orientation and Technical Assistance Sessions for All Providers
Providers must attend DSD orientation and technical assistance sessions regarding program standards, implementation and expectations.
19. Responsibilities of DSD
DSD is responsible for intake, the functional screen and Medicaid Waiver assessments for persons seeking services. When Medicaid Waiver eligibility is determined, DSD will develop the ISP (Individual Service Plan) and refers the eligible client to the Provider agency for case management services. DSD will designate a

Staff Liaison as the resource contact to the Provider agency for information, monitoring and case management supervision. DSD will also provide:

- a. Technical assistance and training.
- b. A Service Plan Packet for each case referred to the Provider agency.
- c. Facilitation of monthly stuffing's.
- d. Monitoring of qualifications (resumes) of case managers and supervisors.
- e. Review and, when appropriate, approve changes to the case plan that may increase the cost of service.
- f. Enforcement of waiver requirements.
- g. Quality assurance of case management services including support services contained in the client's ISP.
- h. Monitoring to assure timely annual waiver re-certifications.
- i. Reimbursement to the Provider at the agreed upon rate for approved services within the time limits provided by the agreement.
- j. Upon the execution of an agreement with the Provider, notification of the requirements relating to the administration of the contract and of the procedures and forms to be used in billing and reporting.
- k. Monitoring the compliance of Providers with the terms of the agreement.

20. COMPENSATION

A. Rates and Units of Service

Direct service time is staff time spent in providing service to the participant including face-to-face contacts, collateral contacts, travel time, telephone contacts, email contacts, client staffing and time spent in documentation of service provisions. (Direct service time does not include indirect time such as time spent at staff meetings, in-service training, vacation, etc.)

Collateral contacts are face-to-face or telephone contacts with persons other than the participant, who are directly related to providing services to the participant and need to be involved by virtue of their relationship to the program participant. Collateral contact could include contact with family members, other service providers, and physicians, school personnel, clergy, etc.

Direct service time must be documented through an entry in the case notes or narrative for units billed. The narrative entry must include: (a) the date of the contact, (b) the type of contact (face-to-face, collateral, phone, etc.), (c) who the contact is with, (d) the content of the contact, (e) the number of units (the length of contact). The case narrative must be contained in the case record maintained by the agency.

Payment for services and unit rates will be determined by budgeted expenses. Final rates may be based on negotiations with the Division.

Provider can be reimbursed up to 2.5 hours of case management services per participant per month. If there is a legitimate need for additional case management services beyond the 2.5 hours for an individual participant in a given month, the Provider shall document the need and seek approval from the County Liaison to bill for additional units.

1. The minimum allowable billing increment is 1/4th of an hour or 15 minutes.
2. The total amount paid for case management services under this Agreement cannot exceed the number of cases managed each month times 2.5 hours times the billing rate for each month of the calendar year.
3. Initial assessments are an additional reimbursement separate from the overall case management fee. For initial assessments, provider can be reimbursed for up to a cap of 60 units (an assessment unit is 1/10th of an hour, or six minutes) at a determined unit rate.
4. Reimbursement costs must reflect the duties defined by the case management service requirements.
5. DSD will not pay for case management services when participants are in a Medicaid funded facilities, i.e. during a hospitalization.
6. Proposed rates and costs for case management services must not include the cost of any service that will be paid by another agency or program.
7. Providers may not subcontract case management services for which they are under agreement with DSD.
8. Costs reflected in case management services must be allowable by the specific Waiver programs under which the participant's care is funded. Rates and costs are subject to verification by DSD prior to approval of the agreement, during the period of the agreement, and by audit after the period of the agreement.
9. Costs must be identified in the budget documents and meet the standards set forth in the State of Wisconsin Department of Health Services Allowable Cost Policy Manual.
10. As noted in the Agreement, Section 11, Purchaser reserves the right to withhold payment or adjust Provider's invoice where Provider fails to deliver the contracted services in accordance with the terms of this Agreement, or any other relevant Milwaukee County Department of Health and Human Services' Policies and Procedures, or Medicaid Waiver requirements.

B. Billing and Supplemental Forms

All billing claims must conform in format and content with requirements of the Wisconsin Department of Health Services Third Party Administrator (TPA) (WPS Insurance Corporation) and can be only submitted to WPS for payment after receipt of the Provider Prior Authorization (PPA) form from Milwaukee County DHHS Disabilities Services Division.

Provider shall submit claims for payment to:

Bureau of Long Term Support CLTS Waivers
C/O WPS Insurance Corporation
P.O. Box 14517
Madison, WI 53708-0517

Paper claims forms may be obtained from DHHS Contract Administration by calling: 414-289-5896, or by sending an email to: DSDProviderNetwork@milwcnty.com . Include your business name, a contact person, and contact phone number.

Alternatively, Provider may submit claims electronically to WPS using a Microsoft Excel spreadsheet. To obtain a copy of the Excel spreadsheet and a required submitter number, send an email to WPS at:

WPS-CLTS@wpsic.com and include your business name, a contact person, and contact phone number.

Claims to WPS may also be submitted electronically via Electronic Data Interchange (EDI) using WPS claims entry software.

In order to enroll in EDI and obtain the EDI claims submission software, WPS dedicated EDI staff are available to provide assistance at: 1-800-782-2680, option 4, or by email at: edi@wpsic.com
Website: www.wpsic.com/edi/index.shtml

For assistance with EDI submitted claims, call the WPS Help Desk at: 1-800-782-2680, option 2.

Claims received ninety (90) days after the provision of service will not be considered for payment by WPS. Purchaser reserves the right to withhold payment or modify the above payment where Provider fails to deliver the contracted services in accordance with the terms of this contract or fails to submit billing claims as required above.

For questions regarding claim status or payment issues, please contact WPS at 1-877-298-1258.

- C. All rates and costs are subject to review in the required annual audit. Where the audit indicates that rates paid to a Provider exceed the allowable costs, including the allowable rate of profit, DSD will require repayment of the amount by which payments exceed allowable costs.
1. The TPA as Purchaser's agent shall pay Provider for covered services as authorized by Purchaser and rendered to participants in accordance with the procedures outlined in the Agreement and any applicable Federal, State and County regulations, rules, Provider Bulletins, memos, etc.
 2. Purchaser reserves the right to decrease the units of service to meet actual needs. An increase in the units of service to be provided may be negotiated.
 3. Purchaser and Provider agree the rate shall include only items and amounts permitted by the Wisconsin Department of Health Services (DHS) *Allowable Cost Policy Manual*.
- D. Provider recognizes the total service needs of the community may not be met under this agreement. Purchaser is unable to guarantee volume of requests funded by this Agreement. The parties agree section 66.0135, Wisconsin Statutes, Interest on Late Payments, shall not apply to payment for services provided hereunder.

**CARE MANAGEMENT/
SUPPORT AND SERVICE COORDINATION
(Also known as Case Management)**

SPC 604

Applies to CIP 1A/1B, BIW, CIP II, COP-W, CLTS

DEFINITION

Care management/support and service coordination is the provision of service to locate, manage, coordinate and monitor all waiver program services, additional services, (regardless of funding source) and informal community supports provided to eligible applicants/participants and to assure that services are provided in accordance with program requirements. This service is intended to insure the waiver program participant's health and safety by enabling the participant to receive a full range of appropriate services and supports consistent with his/her assessed needs in a planned, coordinated, efficient and cost effective manner. While these general guidelines apply to all care management/support and service coordination provided, the service activities may be target group or age-specific.

This service includes assistance with establishing financial, functional and all other aspects of Medicaid waiver eligibility. Service may also include assisting the participant to access waiver, Medicaid state plan, medical, social and natural supports and services. Beyond plan development and service coordination activities, the CM/SSC role includes the primary responsibility to assure participant health and safety.

When the participant is a child, this service includes providing or facilitating all services and supports, both formal and informal, needed by the child and family to meet identified outcomes. This includes locating, managing, coordinating and monitoring all services and educational assessments as well as informal supports needed by waiver participants and assuring that services are provided in accordance with program requirements and assessed support needs. This service also includes an assessment of family's needs so they may adequately support their minor child in the family home.

Support and Service Coordination may also be directed at connecting the child and family to natural supports. Support and Service Coordination facilitates establishing and maintaining the child and family's individualized support system. Services provided to children include assuring effective implementation of the child and family's support plan; developing, implementing, and updating the family-centered transition plan, and coordinating across systems with all necessary supports and services needed by the child.

Care management/support and service coordination provides a broad range of services that may include any of the following activities:

- a. Assistance to establish and maintain program functional and financial eligibility: (may include initial assessments for CLTS, CIP 1A, 1B, BIW)
- b. Establishment and reevaluation of level of care
- c. Reassessment
- d. Person-centered, family centered service planning and service plan development, service coordination and plan review
- e. Contracting for services: establishing, contracting for and monitoring service systems specific to the participant's individual service plan
- f. Reviewing or completing individual service/support plans at required intervals
- g. Identify participant outcomes, arrange services; coordinate and manage multiple service providers and between providers (e.g., schools, therapists, nurses, job coaches, personal care workers, volunteers, etc.) to meet individual outcomes
- h. Ongoing evaluation of the effectiveness of services and service providers
- i. Monitoring and review of participant progress toward meeting service or therapeutic goals and objectives and for CLTS outcomes in service plans
- j. Compiling and maintaining required documentation
- k. Quality assurance and follow along services to assure participant health and safety, including the use of outcome based methods as applicable (CLTS)
- l. Communicating orally and in writing with participants, appropriate family, guardians, service providers, county/state administration and interested members of the community
- m. Providing advocacy, information and referral, crisis and critical incident intervention and resolution, protective and guardianship services
- n. Assistance to participants to locate safe and appropriate housing including the determination of the efficacy of substitute care settings
- o. Assistance to participants to access necessary medical care and treatment
- p. Assistance to participants as appropriate, to pursue vocational and/or educational opportunities
- q. Creation and development of effective provider networks
- r. Supporting participant programmatic and developmental transitions including transition-planning processes (e.g., child-adult at age 14, employed-retired, etc.)
- s. Providing instruction to participants, families/advocates to independently obtain access to services and supports, regardless of funding source
- t. Providing institutional discharge-related care management/support and service coordination services up to thirty days prior to discharge that do not duplicate discharge planning services that a hospital, ICF-MR or nursing home is expected to provide (Does not include discharge planning services prior to the initial period of waiver program eligibility.)
- u. Provide transitional care management/support and service coordination for children and adults relocating to the community from an institution beginning up to 90 days prior to discharge and completed on the date of relocation (Up to 180 days prior to discharge may be allowed with Bureau approval)
- v. Complete specific tasks described in detail under HSRS SPC code 609.20 when the family has selected consumer and family directed services.

SERVICE REQUIREMENTS/LIMITATIONS/EXCLUSIONS

1. The agency responsible for providing or purchasing Medicaid waiver services shall support the provision of services described above as the primary function of care managers/support and service coordinators.
2. The agency responsible for providing or purchasing Medicaid waiver services shall ensure care management/support and service coordination service is available to all participants served by the waiver program.
3. The waiver agency must ensure that only qualified care managers/support and services coordinators provide this service.
4. Excludes optional targeted case management under the Medicaid state plan.
5. Where care management/support and service coordination is not a provided service and/or when the participant's family chooses to coordinate services and supports, the waiver agency must document how the service plan will be managed, including a description of how participant health and safety will be assured.
6. The determination of the type and frequency of contacts with participants, care givers and providers must be based on the following variables as applicable:
 - a. The stability or frailty of the participant's health;
 - b. The ability of the participant to direct his/her own care;
 - c. The strength of in-home supports and the participant's informal support network;
 - d. The stability of in-home care staffing (frequency and reliability of staffing, turnover, availability of emergency back-up staff);
 - e. The stability of the participant's care plan (e.g., history of and/or anticipated frequency of change or adjustment to the plan);
 - f. The participant has lived in the community without a critical incident or an EA/APS referral for three years;
 - g. The participant's guardian is active, interested and involved and is not the waiver participant's service provider.
7. The minimum contact requirements regarding the provision of care management/ support and service coordination vary by waiver program. They include:
 - a. Minimum Contact Requirements (applies to CIP1A, 1B, BIW, CIP II and COP-W):
 - (1) Initial monitoring contacts within the first thirty days:

At a minimum, care managers/support and service coordinators must have direct contact (face to face or by telephone) with the participant **and** with a provider agency, caregiver or another person who is significant in the care plan within the first thirty days **after** the waiver program start date. No exceptions are allowed.

Note: Initial monitoring occurs **after** the waiver start date and **does not** include the initial assessment or plan development contacts.
 - (2) Required ongoing monitoring contacts, after the first thirty days include:

- (a) Direct participant or collateral contact is required **monthly**. Direct participant contact includes face-to-face, telephone or an e-mail/voice mail or written **exchange** with the participant.

Collateral contacts include written, telephone, fax, face to face or an e-mail/voice mail **exchange** with the participant's medical or social service provider, or other person(s) with knowledge of the participant's long term care needs.

"Exchange" is defined as a two-way transmittal of information directly related to the participant his/her service plan or to his/her medical/physical/emotional status. E-mail or voice mail contacts must demonstrate a **connection** is made between both parties wherein information is transferred by one party to the other who then generates a response or reply that is received by the party who initiated the contact. The contact shall result in the acquisition by the CM/SSC of information, data or meaningful insight about the participant's health, well-being or overall status.

Note: Collateral contacts **do not** include the mailing or fax transmission or other exchange of documents required for certification or recertification.

- (b) Face to face participant contact is required **every three months**. Annually, at least one of these contacts shall be at the participant's home. To assure health and safety, more frequent contacts may be required.
- (c) **Every six months** the CM/SSC shall review the service plan during a face-to-face meeting with the participant. No exceptions are permitted.
- (d) In the event the participant has been adjudicated incompetent, the six-month plan review may be conducted with his/her guardian. However, the CM/SSC must continue to make the required face-to-face contacts with the participant and must involve the participant in the plan development process, to the extent he or she is able to participate.

Each participant case record must contain documentation that the minimum contact requirements are met.

Minimum Contact Requirements (applies to CLTS only):

- (1) Monthly collateral contact;
- (2) Direct contact with the family every three months;
- (3) Face-to-face contact at least every six months (with the waiver participant);
- (4) Annually, at least one of the face-to-face contacts shall be at the child and family's place of residence; and
- (5) More frequent contact may be required in response to individual needs identified in assessments or prior critical incidents to assure health and safety.
- (6) Direct contact with the family includes written or electronic mail exchanges, telephone conversations, or face-to-face contact. A collateral contact includes written or electronic mail exchange, telephone conversation, or face to face contact with an individual's family member, medical or social services provider, or other person with knowledge of the individual's long-term support needs.

(a) Applies to all waivers:

1. Exceptions to Required Contacts

- a. On occasion, an exception to provide less than the required minimum ongoing monitoring contacts may be made. An exception may be granted only on those occasions where the participant initiates the request and only in those circumstances where the participant resides in his/her own home or apartment.

No exceptions to the required contacts will be made to address agency workload issues. After the first six months of the participant's initial care plan an exception to provide fewer than the minimum ongoing monitoring contacts may be made. Such an exception may be made only after all the variables listed in number 6 a. through 6 g. above have been considered.

- b. Documentation in the participant file must include the following:
 - (1) Evidence that the participant or his/her guardian requested a reduction in the frequency of contacts, including the date of the request and the participant/family's reason for making the request; and
 - (2) Evidence that the CM/SSC has agreed to the request and that the request has been approved by his/her supervisor; and
 - (3) A description of how participant health, safety and welfare will be assured in the absence of the required contacts; and
 - (4) A description of the contacts that will occur; and
 - (5) Case notes that explain how each of the variables listed in item 6 a. through 6 g. above have been applied.

The CM/SSC must renew the contact exception **every twelve months**. The twelve-month exception renewal includes reconsideration of all of the variables listed in item 6 above and re-documentation of the four elements in item 8 above as well, including the signed supervisory approval of the exception. Documentation must also include the participant's signed agreement to the minimum contact exception every twelve months.

Important: The exception to the contact requirements applies only to contacts between the CM/SSC and the participant. Collateral contacts as required in item 7 above must continue for ongoing monitoring. An exception to the required contacts **may not** be made for the 6-month face-to-face plan review.

2. Care managers/support and service coordinators must communicate with designated state/ county staff about any incidents or situations regarded as Critical Incidents as defined in Chapter IX of the waivers manual (for CIP 1A, CIP 1B, BIW and CLTS).
3. For participants not covered by critical incident reporting policies (COP-W, CIP II) care managers/support and service coordinators shall communicate promptly with the county agency adult protective services unit regarding any incidents or situations or conditions that have endangered or if not addressed, may endanger the health or safety of the participant.
4. A participant's primary CM/SSC may report time devoted to securing guardians, completing related reports or attending court proceedings under this SPC.

5. In addition, the agency may bill the time of another CM/SSC whose primary responsibilities include guardianship-related services to SPC 604, provided that this worker meets the standards described below and provided that those services represent coordinated activity between all CM/SSCs involved. While this activity may be reported to SPC 604, it cannot be counted toward the required ongoing monitoring contacts.
6. Transitional care management/support and service coordination may be provided for children and adults relocating to the community from an institution beginning up to 90 days prior to discharge and completed on the date of relocation (up to 180 days prior to discharge may be allowed with Bureau approval). Transitional services may include associated tasks such as locating appropriate housing, completing lease/housing subsidy applications, assistance in processing changes in Social Security or Medicaid benefits, and meetings with families and potential formal and informal caregivers.
7. Providers of care management/support and supervision are subject to the required criminal, caregiver and licensing background checks and hiring prohibitions described in Chapter IV, Section 4.05 of the Waivers manual.
8. Care management/support and service coordination services that are provided to persons who participate in both a Medicaid-certified Community Support Program (CSP) or Community Care Services (CCS) and a Medicaid waiver program may not be billed to the waiver program. In those circumstances the service must be billed to the CSP or CCS.

STANDARDS

1. A Care Manager/Support and Service Coordinator (CM/SSC) shall have the skills and knowledge typically acquired:
 - a. Through a course of study and practice experience that meets requirements for state certification/licensure as a social worker and also one year experience with the target group, or
 - b. Through a course of study leading to a BA/BS degree in a health or human services related field and one year of experience working with persons of the specific target group for which they are employed, or
 - c. Through a minimum of four years experience as a long term support CM/SSC, or
 - d. Through an equivalent combination of training and experience that equals four years of long term support practice in long term support case management practice, or
 - e. The completion of a course of study leading to a degree as a registered nurse and one year of employment working with persons of the specific target group for which they are employed.
2. The CM/SSC shall be knowledgeable of the service delivery system, the needs of the target group with which s/he is working, and the availability of integrated services and resources or the need for such services and resources to be developed.
3. For BIW, CIP 1A, CIP 1B and CLTS, the CM/SSC must complete the appropriate "waiver basics" training course provided by the Bureau. Until training is received, the CM/SSC must work under the direct supervision of a qualified care manager/ support and service coordinator and/or supervisor.

4. Care managers/support and service coordinators must meet the initial and ongoing training requirements as described in Section 5.01 of the Community Options Program Guidelines.
5. Supervisors of care managers/support and service coordinators must meet the minimum qualifications specified in Section 5.01 of the Community Options Program Guidelines.
6. Waiver participants will have only one primary CM/SSC. However, in some circumstances more than one professional may provide care management support and service coordinator functions, including protective services activities, as long as there is documentation identifying the primary CM/SSC and the participant clearly understands who the primary worker is.

DOCUMENTATION

1. The contract waiver agency must maintain documentation indicating the care management/support and service coordination staff meets required qualifications.
2. The participant record must reflect a frequency and intensity of contacts to support reported units of service and minimum contact requirements. Documentation/case notation of all contacts must reflect an allowable activity and indicate that the activity is related to the participant's individual service plan.
3. Each participant record must contain documentation that the minimum contact requirements have been met. If an exception to the minimum contact requirements has been granted documentation of the request and approval must be maintained in the participant record.
4. The agency must provide documentation in the participant file describing how participant health and safety will be assured. Acceptable documentation includes case notation describing how and who will manage the provided services.
5. Documentation of current criminal, caregiver and licensing background checks of all care management/support and service coordination staff must be maintained and made available upon request.

DISABILITIES SERVICES DIVISION

SECTION 6:

AUDIT AND REPORTING

6. AUDIT AND REPORTING

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INTRODUCTION

Audit and Reporting Requirements are organized into three (3) separate sections, each of which explain various audit and reporting requirements along with the format of schedules and forms to use for billing, annual audit and audit waiver requests. The relevant instructions, format and forms are included in each respective section. Forms can also be found on the Contract Administration web page at:

http://county.milwaukee.gov/DHHS_bids

The sections are:

Section 6.1: Monthly Fee For Service Contract Billing Forms

Section 6.2: Annual Audit Requirements

Section 6.3: Required Annual Audit Schedules

To receive information or assistance, please contact the following persons:

Dennis Buesing, CPA, Contract Administrator (414) 289-5853

Sumanish K Kalia, CPA, Contract Administration (414) 289-6757

James Sponholz, Contract Services Coordinator, Contract Administration (414) 289-5778

INSTRUCTIONS, FORMS and SCHEDULES

SECTION 6.1: MONTHLY FEE FOR SERVICE CONTRACT BILLING FORMS

Monthly billing instructions
Monthly billing forms

Milwaukee County Department of Health and Human Services (DHHS)

Billing Instructions

- 1 Please enter one Program per Exhibit 1 per spread sheet/ "Expense Statement". DO NOT combine Programs. Some program may have multiple services.**
- 2 Data can be entered in "grayed" cells **ONLY**.
 - Choose month from drop down box on the "Exp" tab.
 - Enter Agency/Program information on the "Exp" tab which will populate the same data fields on the "Rev" and other tabs.
 - For expenses, enter data on "Exp-Details" Tab **ONLY** and it will automatically populate the "EXP" Tab fields.
 - For Revenue, enter data on "Rev" Tab **ONLY** and it will automatically populate the respective field in other forms.
- 3 For "EXP" Tab; please select the starting and ending month of the contract from the drop down menu. Also select the type of reimbursement i.e. Final or Partial from the drop down menu. It will be a partial reimbursement every month except when it is a final invoice. For every month Please also select whether the Expenses being claimed are Actual or Estimated.**
- 4 All amounts must be rounded to the nearest whole dollar.
- 5 Any prior period adjustments must be made in the current month.
 - **DO NOT MAKE CHANGES TO MONTHS YOU HAVE ALREADY BILLED.**
 - Footnote any prior period adjustments on the current month report on the "Exp-Details" Tab in Comment Box
- 6 INCREASES IN REVENUES AND EXPENSES MUST BE ENTERED AS POSITIVE NUMBERS.**
- 7 DECREASES IN REVENUES AND EXPENSES MUST BE ENTERED AS NEGATIVE NUMBERS.**
- 8 If you report units, Please enter the rates and units on the "Units" TAB only, even though your agency may have only one type of service and one rate only. **DO NOT** enter any units on "EXP" TAB it will be automatically calculated and entered on the "Exp" TAB. **Please also select the unit type from the drop down menu for each unit rate.**
- 9 Please do not enter "Text" or "punctuation marks" in numerical fields or vice versa.
- 10 Please email the report to dhhsaccounting@milwcnty.com, the subject line must read : Division, Agency, Program and Month example: DSD ABC LLC TCM January 07
- 11 Equipment Cost for code 8700 includes all Assets for example: Fax Machine, Printer, Copier, Computers, Laptop, Phone systems, Furniture, Chairs, Desks, Sofa, Beds etc
- 12 Employee Travel has been split into two rows on the "Exp-Details" TAB, one row is for expenses like hotel, meals & related expenses like fares etc. which is linked to the supplementary information to be provided on the "TRAVEL" TAB. The other row is for all other mileage and gas reimbursement being paid to employees to travel locally in Milwaukee Metro area or under employee agreement.

**Milwaukee County Department of Health and Human Services (DHHS)
Expense Report**

Agency: Disability: Division: BHD

Month Ending: JANUARY

Certified By: Agency Representative

Program: Reimbursement: Partial

Contact: Starting Month: Ending Month:

Contract # Phone # (123) 456-7800

Fax # (123) 456-7890

Account Number	Expense Description <small>Amounts are Estimated or Actual</small>	January		February		March		April		May		June		July		August		September		October		November		December		Year-To-Date		Approved Budget
		Actual	Expenses	Actual	Expenses	Actual	Expenses	Actual	Expenses	Actual	Expenses	Actual	Expenses	Actual	Expenses	Actual	Expenses	Actual	Expenses	Actual	Expenses	Actual	Expenses	Actual	Expenses	Year-To-Date	Expenses	
*7100	Salaries	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*7100	Employee Benefits	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*7200	Payroll Taxes	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*8000	Professional Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*8100	Supplies	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*8200	Telephone	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*8300	Postage & Shipping	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*8400	Occupancy	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*8500	Equipment Costs	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*8600	Printing & Publications	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*8700	Employee Travel	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*8800	Conferences, Conventions, Meetings	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*8900	Specific Assistance to Individuals	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
**8916	Client Allowance	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*9000	Membership Dues	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*9100	Awards & Grants	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*9200	Allocated Costs	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*9300	Client Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*9400	Miscellaneous	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*9500	Depreciation/Amortization	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*9600	Allocations to Agencies	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*	Other Than Above	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
	Total Expenses before profit	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
	Profit if Authorized	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
	Total Expenses including Profit	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
	Total Non-DHHS Contract Revenue Brought Forward	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
	Total Net Expenses/Request	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-

* all items must be entered only on the separate TABS "Exp-Details" or "Units" or the report will be returned and payment denied.
 ** Applies only to 3D group homes and family care homes.
 # Items must be explained on the separate TABS provided with this report or report will be returned and payment denied.

Current Contract	Year-To-Date Contract	Approved Contract
-	-	-

<i>(if applicable)</i>														
January Units	February Units	March Units	April Units	May Units	June Units	July Units	August Units	September Units	October Units	November Units	December Units	Final Units	Year-To-Date Units	Approved Budget Units
-	-	-	-	-	-	-	-	-	-	-	-	-	-	-

Number of Contract Months: 12

ESTIMATED PAYMENTS ARE MADE BASED ON THE LOWER
 OF:
 CURRENT MONTH CONTRACT, CURRENT MONTH EXPENSES,
 OR CURRENT MONTH UNITS Earned (if Applicable)

<i>(if applicable)</i>														
January Units	February Units	March Units	April Units	May Units	June Units	July Units	August Units	September Units	October Units	November Units	December Units	Final Units	Year-To-Date Units Earned	Approved / Weighted Average Unit Rate
-	-	-	-	-	-	-	-	-	-	-	-	-	-	-

Expenses for Reimbursement does not include EARLY payments:

Email to: dhhscaccounting@milwaukeecounty.com Fax: DHHS Accounting @ (414) 289-8574
 Mail to: Milwaukee County Department of Health Human Services
 Attn: Fiscal Services
 1220 West Vliet Street Suite 109, Milwaukee, WI 53205

File: 2007 DHHS POS RE Financial Report-revised051006.xls
 Worksheet: Exp
 Printed: 7/6/2006
 Form 162 (Rev. 5/1/06)

Milwaukee County Department of Health and Human Services (DHHS)
Units Report

Agency Program
Agency Program

Important: Please use county approved units and rates per Exhibit 1 ONLY. If no approved units or rate please fill "0" not N/A.

Details of Units

Service	Approved Budget Units	Approved Unit Rate	January Units	February Units	March Units	April Units	May Units	June Units	July Units	August Units	September Units	October Units	November Units	December Units	Final Units	Year-To-Date Units
U1	TEXT	0.00	-	-	-	-	-	-	-	-	-	-	-	-	-	-
U2	TEXT	0.00	-	-	-	-	-	-	-	-	-	-	-	-	-	-
U3	TEXT	0.00	-	-	-	-	-	-	-	-	-	-	-	-	-	-
U4	TEXT	0.00	-	-	-	-	-	-	-	-	-	-	-	-	-	-
U5	TEXT	0.00	-	-	-	-	-	-	-	-	-	-	-	-	-	-
U6	TEXT	0.00	-	-	-	-	-	-	-	-	-	-	-	-	-	-
U7	TEXT	0.00	-	-	-	-	-	-	-	-	-	-	-	-	-	-
U8	TEXT	0.00	-	-	-	-	-	-	-	-	-	-	-	-	-	-
U9	TEXT	0.00	-	-	-	-	-	-	-	-	-	-	-	-	-	-
U10	TEXT	0.00	-	-	-	-	-	-	-	-	-	-	-	-	-	-
U11	TEXT	0.00	-	-	-	-	-	-	-	-	-	-	-	-	-	-
U12	TEXT	0.00	-	-	-	-	-	-	-	-	-	-	-	-	-	-
	TOTAL	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-

Milwaukee County Department of Health and Human Services (DHHS)
Detailed Expenses Report

Agency Program
Program

Important: DO NOT MAKE CHANGES TO MONTHS YOU HAVE ALREADY BILLED.

Account Number	Expense Description	January Expenses	February Expenses	March Expenses	April Expenses	May Expenses	June Expenses	July Expenses	August Expenses	September Expenses	October Expenses	November Expenses	December Expenses	Final Expenses	Year-To-Date Expenses
*7000	Salaries	-	-	-	-	-	-	-	-	-	-	-	-	-	-
7001	Owner/Executive/Officer Salaries	-	-	-	-	-	-	-	-	-	-	-	-	-	-
	Manager's Salaries	-	-	-	-	-	-	-	-	-	-	-	-	-	-
	Others salaries	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*7100	Employee Benefits	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*7200	Payroll Taxes	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*8000	Professional Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8001	Medical & Dental Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8002	Psychological Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8003	Legal Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8004	Rehabilitation & Education Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8005	Development & Public Relations Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8006	Brokerage, Commission, Collection Fee	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8007	Employment Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8008	Audit Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8009	Electronic Data Processing Service Fee	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8010	Other Contract Payments to Consultants	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8011	Talent Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8012	Other Purchased Services	-	-	-	-	-	-	-	-	-	-	-	-	-	-
		-	-	-	-	-	-	-	-	-	-	-	-	-	-
		-	-	-	-	-	-	-	-	-	-	-	-	-	-
		-	-	-	-	-	-	-	-	-	-	-	-	-	-
		-	-	-	-	-	-	-	-	-	-	-	-	-	-
		-	-	-	-	-	-	-	-	-	-	-	-	-	-
*8100	Supplies	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*8200	Telephone	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*8300	Postage & Shipping	-	-	-	-	-	-	-	-	-	-	-	-	-	-
*8400	Occupancy	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8401	Office Rent	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8402	Other Bldg. & Parking Lot Rent	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8403	Bldg. & Bldg. Eq. Ins. (Gen. & Liability)	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8404	Mortgage Interest	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8405	Electricity	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8406	Gas	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8407	Heating Oil	-	-	-	-	-	-	-	-	-	-	-	-	-	-
8408	Water & Sewer	-	-	-	-	-	-	-	-	-	-	-	-	-	-

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34																																											
<p>UNITS OF SERVICE-CLIENT MOVEMENT SUMMARY 533 MASTER SHEET</p> <p>UNITS OF SERVICE-CLIENT MOVEMENT SUMMARY CLOSING CODES: XM-moved/relocated XD-Family no longer want services XK-Services no longer needed XC-Died Address of Contact CA-Did not meet LOC (level of Care) CA-Did not meet LOC (level of Care) CA-Did not meet LOC (level of Care) CA-Did not meet LOC (level of Care)</p> <p>BOX A. MOVEMENT SUMMARY CENSUS ON LAST DAY OF PREVIOUS MONTH: 0 INITIATIONS DURING REPORT MONTH: 0 COMPLETION DURING REPORT MONTH: 0 CENSUS ON LAST DAY OF REPORT MONTH: 0</p> <p>BOX B. UNITS OF SERVICE SUMMARY DISABILITY: 0 DEVELOPMENTAL DISABILITIES: 0 TOTAL UNITS OF SERVICE: 0</p> <p>BOX C. UNITS OF SERVICE SUMMARY SERVICE TYPE CODE: 0 ZCODE: 0 TOTAL UNITS OF SERVICE: 0</p> <p>PROVIDER NUMBER: 0 SITE NUMBER: 0 DISABILITY: 0 PROGRAM AREA: 0 SERVICE TYPE: 0 FUNDING TYPE: 0</p> <p>TELEPHONE NUMBER: 0 FAX NUMBER: 0</p> <p>FACILITY NAME: 0 PROGRAM NAME: 0 CONTACT PERSON: 0</p> <p>REPORT MONTH/YEAR: Jan</p>																																																																												
IM	OU	Closing Date	Closing Code	CLS	BIRTHDATE	CLIENT'S NAME	CASE #	UNITS OF SERVICE PROVIDED												TOTAL BILLABLE UNITS																																																								
-	X	-	-	-	-	-	7	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31																																						
24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	100

Applicable to DSD Programs

Section 6.2: Annual Audit Requirements

General Audit Requirements
Milwaukee County DHHS requirements
Audit Waiver

SECTION 6.2: ANNUAL AUDIT REQUIREMENTS

A. Audit Requirements

Any Provider receiving a total amount in annual funding of \$25,000 or more from the County through this and any other contract is required to obtain an annual independent audit.

Provider shall submit to County, on or before June 30, 2014 or such later date that is mutually acceptable to Provider and County, two (2) original copies of an annual program audit, or a Provider agency-wide audit for Calendar Year 2013 if the total amount of annual funding provided by County through this and other contracts and agreements is \$25,000 or more, unless waived by County. The audit shall be performed by an independent certified public accountant (CPA) licensed to practice by the State of Wisconsin. CPA audit reports are required under Wisconsin Statutes, Section 46.036 (4)(c).

Providers reporting on a fiscal year other than a calendar year shall be considered in compliance with the audit requirements upon submittal of Contractor's fiscal year audit, meeting the audit requirements in Section Eleven, part A subparts (1),(2), and (3) below, within 180 days of the fiscal year closing, plus financial statements including required supplemental schedules covering the period from the start of the fiscal year beginning in 2013 through December 31, 2013, compiled by a CPA licensed to practice by the State of Wisconsin. Compiled supplemental schedules are due by June 30, 2014.

Non-profit Providers who received aggregate federal financial assistance of \$500,000 or more, either directly or indirectly, shall submit to County, on or before June 30, 2014 or such later date that is mutually acceptable to Provider and County, two (2) original copies of a certified audit report for Calendar Year 2013 performed in accordance with the Office of Management and Budget (OMB) Circular A-133, Audits of States, Local Governments and Non-Profit Organizations (on line at <http://www.whitehouse.gov/omb/circulars>) if the Provider meets the criteria of that Circular for needing an audit in accordance with that Circular.

All audits submitted by Provider per above requirements shall also be conducted in conformance with the following standards:

1. The Wisconsin Department of Health Services *Provider Agency Audit Guide*, 1999 revision issued by WI Department of Corrections and Workforce Development or *Department of Health Service Audit guide DHSAG*) latest revision issued by Wisconsin Departments of Health Services. (on line at <http://dhs.wisconsin.gov/Grants/>)
2. Standards applicable to financial audits contained in *Government Auditing Standards (GAS)* most recent revision published by the Comptroller General of the United States; and
3. Generally accepted auditing standards (GAAS) adopted by the American Institute of Certified Public Accountants (AICPA).

Requests for waiver, and/or extension must be in writing and submitted before the original due date of the audit. Audit reports and requests for waiver and/or extension must be sent to the following address no later than five months after the end of the Provider's fiscal year, or such later date mutually agreed to by Provider and County. Extensions of the deadline for submission of the audit are at the sole discretion of Purchaser. If Provider determines an extension is necessary, Purchaser must receive a

request for an extension not later than thirty (30) days prior to the due date for the audit. A request for an extension must include:

- (1) an explanation as to why an extension is necessary;
- (2) the date upon which the Purchaser will receive the audit;
- (3) the unaudited financial statements of the Provider; and,
- (4) any additional information Provider deems relevant to Purchaser's determination.

No extension will be granted for a period greater than ninety (90) days beyond the original date that the audit was due. Requests for extension of audit due date must be submitted to:

Milwaukee County Department of Health and Human Services
Contract Administrator
1220 W. Vliet Street, Suite 301
Milwaukee, WI 53205

CPA audits and reports referenced above shall contain the following Financial Statements, Schedules and Auditors' Reports:

- (1) Financial Statements and Supplemental Schedules:
 - (a) Comparative Statements of Financial Position. For Provider agency-wide audits only.
 - (b) Statement of Activities. For Provider agency-wide audits only.
 - (c) Statement of Cash Flows. For Provider agency-wide audits only.
 - (d) Program Revenue and Expense Schedule for each program identified as a Fee-for-Service Agreement with County, or for each facility or rate-based service provided under a Community Based Residential Facility (CBRF) or Adult Family Home (AFH) Services Contract with the County. If more than one program or rate-based service is provided under this Agreement, Purchase of Service Contract with this or other divisions of County, Community Based Residential Facility (CBRF) or Adult Family Home (AFH) Services Contract, a separate Program Revenue and Expense Schedule must be prepared for each program, facility or rate-based service.
 - (e) Schedule of Revenue and Expense by Funding Source (Provider agency-wide) is required of all Providers. This schedule must follow the format and content of the sample schedule contained in Exhibit One (1). Do not combine multiple line items into a single line item or separate a single line item into multiple line items.
 - (f) Allowable administrative and other allocated overhead (collectively, indirect costs) will be limited to 10% of net allowable direct program costs (excluding such allocated costs) for agencies/Providers electing to provide a program audit in lieu of an agency-wide audit.
 - (g) Reserve Supplemental Schedule is required for all non-profit Providers that provide Participant Covered Services on the basis of a unit rate per unit of Participant service (units-times-price agreements). A separate schedule must be completed for each contract/facility, or for each rate-based program (service) within a facility. The schedule must identify revenue from each Purchaser separately, and include total units of service provided to all Purchasers for each contract/facility or rate-based service within a facility, and total units of service provided under the Contract with County, as well as the items required by the *Provider Agency Audit Guide* 1999 revision issued by WI Department of

Corrections and Workforce Development (Section 7.1.6) or *Department of Health Service Audit guide (DHSAG) latest revision* issued by Wisconsin Departments of Health Services for the most recently completed fiscal year. The schedule and allowable additions to reserves shall be by contract/facility or by program category.

- (h) Schedule of Profit for For-Profit Providers Which Provide Participant Care. For-profit Providers shall include a schedule in their audit reports showing the total allowable costs and the calculation of the allowable profit by contract/facility, or for each rate-based program (service) within a facility. Wis. Stat. 46.036 (3) (c) indicates that contracts for proprietary agencies may include a percentage add-on for profit according to the rules promulgated by the Department of Health Services. These requirements are in the DHS [Allowable Cost Policy Manual](#) or DCF Allowable Cost Policy Manual, which indicates that allowable profit is determined by applying a percentage equal to 7 1/2% of net allowable operating costs plus 15% applied to the net equity, the sum of which may not exceed 10% of net allowable operating costs. For agencies/Providers electing to provide a program audit in lieu of an agency-wide audit, allowable profit will be restricted to 7 1/2% of net allowable operating costs of the program only, without regard to any net assets of the program.
 - (i) Units of service provided under the Agreement, if not disclosed on the face of the financial statements, are required for Providers that provide Participant Covered Services on the basis of a unit rate per unit of Participant service (units-times-price agreements). Provider's auditors shall review and report on the extent of support for the number of units for each type of service billed to Purchaser, and compare units billed to Provider's accounting/billing records that summarize units provided per Participant. Provider's auditors shall reconcile billing records to supporting underlying documents in Participant case files on a test basis, and report on any undocumented units billed to Purchaser that exceed the materiality threshold of the DHS *Provider Agency Audit Guide*, 1999 revision issued by WI Department of Corrections and Workforce Development or *Department of Health Service Audit guide (DHSAG) latest revision* issued by Wisconsin Departments of Health Services. The disclosure must include total units of service provided to all Participants for each facility, or rate-based program within a facility; and total units of service provided under the Contract or Service Agreement with Purchaser for the most recently completed fiscal year.
 - (j) Notes to financial statements including disclosure of related-party transactions, if any. Rental cost under less-than-arms-length leases are allowable only up to the amount that would be allowed had title to the property vested with the Provider. Rental cost under sale and leaseback arrangements are allowable only up to the amount that would be allowed had the Provider continued to own the property. Provider's auditors must disclose the actual costs of ownership, by property, for the property(ies) in question, as well as the amount of such costs to be allocated to Purchaser's program(s), the amount of rent originally charged, and the amount of such rent that is an unallowable cost.
 - (k) Schedule of Federal and State Awards broken down by contract year. The schedule shall identify the contract number and the program name and number from Attachment A of the Agreement.
- (2) Independent Auditors Reports and Comments:
- (a) "Opinion on Financial Statements and Supplementary Schedule of Expenditures of Federal and State Award" including comparative statements of financial position, and related statements of activities and cash flow of entire Provider agency.

Or, for Program Audits

"Opinion on the Financial Statement of a Program in Accordance with the Program Audit."

- (b) Report on Compliance and Internal Control over Financial Reporting Based on an Audit of Financial Statements Performed in Accordance with Government Auditing Standards (GAS), and the *Provider Agency Audit Guide*, 1999 revision issued by WI Department of Corrections and Workforce Development or *Department of Health Service Audit guide (DHSAG) latest revision* issued by Wisconsin Departments of Health Services.

Or, for Program Audits

“Report on Compliance with Requirements Applicable to the Program and on Internal Control over Compliance Performed in Accordance with the Program Audit.”

- (c) “Report on Compliance with Requirements Applicable to Each Major Program and Internal Control over Compliance in Accordance with OMB Circular A-133” (applicable only if the audit is also in accordance with OMB Circular A-133).
- (d) Schedule of findings and questioned costs to include:
- Summary of auditor’s results on financial statements, internal control over financial statements and compliance, and if applicable; the type of report the auditor issued on Compliance for Major Federal Programs
 - Findings related to the financial statements of the Provider or of the program which are required to be reported in accordance with Generally Accepted Government Auditing Standards (GAGAS);
 - Findings and Questioned Costs for Federal Awards which shall include audit findings as defined in Section .510(a) of OMB Circular A-133, if applicable;
 - Doubt on the part of the auditors as to the auditee’s ability to continue as a going concern;
 - Other audit issues related to grants/contracts with funding agencies that require audits to be performed in accordance with the *Provider Agency Audit Guide*, 1999 revision issued by WI Department of Corrections and Workforce Development or *Department of Health Service Audit guide (DHSAG) latest revision* issued by Wisconsin Departments of Health Services.;
 - Whether a Management Letter or other document conveying audit comments was issued as a result of the audit.
- (e) A copy of the Management Letter or other document issued in conjunction with the audit shall be provided to County. If no Management Letter was issued, the schedule of findings and questioned costs shall state that no Management Letter was issued.
- (3) Provider Prepared Schedules and Responses:
- (a) Schedule of prior-year audit findings indicating the status of prior-year findings related to County funded programs. The schedule shall include the items required by the *Provider Agency Audit Guide*, 1999 revision issued by WI Department of Corrections and Workforce Development or *Department of Health Service Audit guide (DHSAG) Latest revision* issued by Wisconsin Departments of Health Services. If no prior year findings were reported, the schedule must state that no prior year findings were reported.
- (b) Corrective action plan for all current-year audit findings related to County funded programs and/or financial statements of the Provider. The corrective action plan shall be prepared by Provider, and must include the following: name of the contact person responsible for the preparation and implementation of the corrective action plan; the planned corrective action; and, the dates of implementation and anticipated completion.
- (c) Management’s responses to each audit comment and item identified in the auditor’s Management Letter.

- (4) General: The following is a summary of the general laws, rules and regulations with which the auditor should be familiar in order to satisfactorily complete the audit,
- (a) Government Auditing Standards, (Standards for Audit of Governmental Organizations, Programs, Activities, and Functions), Latest Revision.
 - (b) OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations, including revisions published in *Federal Register* 06/27/03.
 - (c) OMB Circular A-133, - Appendix B: latest Compliance Supplement.
 - (d) OMB Circular A-122, Cost Principles for Non-Profit Organizations.
 - (e) OMB Circular A-87, Cost Principles for State, Local and Indian Tribal Governments.
 - (f) OMB Circular A-21, Cost Principles for Educational Institutions.
 - (g) The allowability of costs incurred by commercial organizations and those non-profit organizations listed in Attachment C to OMB Circular A-122 is determined in accordance with the provisions of the Federal Acquisition Regulation (FAR) at 48 CFR part 31 - Contract Cost Principles and Procedures.
 - (h) OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments.
 - (i) OMB Circular A-110, Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations.
 - (j) Wisconsin State Statutes, Sections 46.036, 49.34, Purchase of Care and Services.
 - (k) State of Wisconsin, Department of Administration Single Audit Guidelines - Current Revision.
 - (l) State of Wisconsin Department of Health and Family Services, Provider Agency Audit Guide - 1999 Revision issued by WI Department of Corrections and Workforce Development or Department of Health Service Audit guide (DHSAG) latest revision issued by Wisconsin Departments of Health Services.
 - (m) State of Wisconsin Department of Health and Family Services, Allowable Cost Policy Manual - Current Revision.
 - (n) State of Wisconsin Department of Children and Families Allowable Cost Policy Manual – Current Revision.
 - (o) AICPA Generally Accepted Auditing Standards.

B. Provider hereby authorizes and directs its Certified Public Accountant, if requested, to share all workpapers, reports, and other materials generated during the audit with Purchaser or Purchaser representative(s) including the County Department of Health and Human Services and the County Department of Audit as well as state and federal officials. Such direct access shall include the right to obtain copies of the workpapers and computer disks, or other electronic media, which document the audit work. Provider shall require its CPA to retain workpapers for a period of at least seven (7) years following the latter of Contract termination, or receipt of audit report.

C. Provider and Purchaser mutually agree that Purchaser or Purchaser's representative(s), including the County Department of Health and Human Services and the County Department of Audit, as well as state and federal officials, reserve the right to review certified audit reports, supporting workpapers, or financial statements, and perform additional audit work as deemed necessary and appropriate, it being understood that additional overpayment refund claims or adjustments to prior claims may result from such reviews. Such reviews may be conducted for a period of at least four (4) years following the latter of contract termination, or receipt of audit report, if required.

- D. Provider shall maintain records for audit purposes for a period of at least seven (7) years following the latter of contract termination or receipt of audit report.
- E. Provider who subcontracts with other providers for the provision of care and Covered Services is required by federal and state regulations to monitor its subcontractors.

Provider shall have on file, and available for review by County and its representatives, copies of subcontractor's CPA audit reports and financial statements. These reports and financial statements shall be retained for a period of at least seven (7) years following the latter of contract termination, or receipt of audit report, if required.

Subcontractor shall maintain and, upon request, furnish to County, at no cost to County, any and all information requested by County relating to the quality, quantity, or cost of services covered by the subcontract and shall allow authorized representatives of County, the Milwaukee County Department of Audit and County's funding sources to have access to all records necessary to confirm subcontractor's compliance with law and the specifications of this Contract and the subcontract.

It is agreed that County representatives, the Milwaukee County Department of Audit and representatives of appropriate state or federal agencies shall have the right of access to Service Documentation as may be requested to evaluate or confirm subcontractor's program objectives, Participant case files, costs, rates and charges for the care and service, or as may be necessary to evaluate or confirm subcontractor's delivery of the care and service. It is further understood that files, records and correspondence for subcontracted engagement must be retained by subcontractor for a period of at least seven (7) years following the latter of contract termination, or receipt of subcontractor's audit report, if required.

Subcontractor shall allow visual inspection of subcontractor's premises to County representatives and to representatives of any other local, state, or federal government unit. Inspection shall be permitted without formal notice at any time that care and Covered Services are being furnished.

- F. Failure to Comply with Audit Requirements:
If Provider fails to have an appropriate audit performed or fails to provide a complete audit-reporting package to the County within the specified timeframe, Purchaser may, at its sole discretion:
 1. Conduct an audit or arrange for an independent audit of Provider and charge the cost of completing the audit to Provider;
 2. Charge Provider for all loss of federal or state aid or for penalties assessed to County because Provider did not submit a complete audit report within the required time frame;
 3. Disallow the cost of the audit that did not meet the applicable standards; and/or
 4. Withhold or suspend any or all payments due the Provider from Purchaser,
 5. Suspend, reduce or terminate the contract/Agreement, or take other actions deemed by Purchaser to be necessary to protect the Purchaser's interests.
 6. In the event of selection by Purchaser of an organization or individual to complete an audit of Provider's financial statements, Purchaser shall withhold from future payments due to the Provider from Purchaser an amount equal to any additional costs incurred by the Purchaser for the completion of an audit of Provider's records by an auditor selected by Purchaser.

7. Purchaser may withhold a sum of \$1,500.00 from payments due to the Provider from Purchaser as liquidated damages.
- G. Upon receipt of the audit report, Purchaser will complete preliminary review of all audits received to determine whether additional information is required and notify Provider of any additional information required to complete review. Once the complete audit is received, Purchaser will complete a compliance review and notify Provider of Purchaser's actions on the audit report.
- H. Contractor agrees to submit to DHHS plans for correcting weaknesses identified in audit reviews. Failure on the part of the Provider to comply with these requirements shall result in withholding of any payments otherwise due the Provider from DHHS and ineligibility for future agreements/contracts with DHHS until six months after such time as these requirements are met.
- I. County Waiver of Audit Requirements under this Section:
If County has waived the audit requirement for this Agreement under Wisconsin Statute s.46.036, this waiver does not absolve Provider from meeting any federal audit requirements that may be applicable or any audit requirements of other contracts or agreements. Waiver of the audit, or failure of Provider to receive Purchaser funding under this Agreement and other County Agreements at a level that would require an audit does not absolve Provider from submitting an un-audited schedule of program revenue and expenses as a final accounting to determine final settlement under this Agreement.
- J. Provider agrees that the DHHS is entitled to repayment of amounts identified as a result of the audit required under this section and acknowledges that failure to repay such amounts may result in legal action as determined by Milwaukee County Corporation Counsel. Interest and any legal expenses incurred by DHHS in collection of these amounts shall be charged the Provider on outstanding repayments as set forth in s46.09 (4) (h) Milwaukee County General Ordinances.
- K. Provider and County mutually agree that the Milwaukee County DHHS or its agents, the Milwaukee County Director of Audits, as well as state and federal officials, reserve the right to review certified audit reports or financial statements and perform additional audit work as deemed necessary and appropriate. It is understood that additional overpayment refund claims or adjustments to prior claims may result from such reviews.
- L. The Provider consents to the use of statistical sampling and extrapolation as the means to determine the amounts owed by the Provider for any DHHS programs, or Fee-for-Service Provider Networks as a result of an investigation or audit conducted by DHHS or its agents, the Milwaukee County Department of Audit, the Wisconsin Department of Health Services, the Department of Justice Medicaid Fraud Control Unit, the federal Department of Health and Human Services, the Federal Bureau of Investigation, or an authorized agent of any of these.

Agency Name: _____
 Contact Person: _____ Title: _____
 Address: _____
 Phone #: _____ Fax # _____ Email: _____

AUDIT WAIVER REQUEST

Dennis Buesing,
 Contract Administrator
 Milwaukee County Department of Health & Human Services (DHHS)
 1220 West Vliet St. Room B26 # 4
 Milwaukee, WI 53205

Re: 2012 Purchase of Services Waiver of Audit Request

1. Date of Request: _____ 1a. Type of Entity: _____
2. Program: _____
3. DHHS Division: BHD/DSD/DCSD/MSD/HD
4. Total Amount of Contract with DHHS: \$ _____
5. Total Amount earned/payment received from DHHS: \$ _____ (estimate revenue)
6. Total Amount earned/received from Other Governmental Sources (e.g. State, City): \$ _____
7. Reason Audit Waiver is being requested:
 - a. Experience:
 - Number of years in Business: _____
 - Number of year's experience providing these services: _____
 - Number of year's experience providing these services to DHHS: _____
 - Payment Method: Unit Rate/Cost/Lower of Cost or net units/Fee for Service
 - Other program reports submitted to DHHS: _____
 - Other Program Reports e.g. Daily Time Sheets, Monthly Evaluation Reports, etc. _____
 - b. Audit Fee exceeds 5% of payments under DHHS contract:
 - Audit Cost: \$ _____
 - Source of estimate: _____
 - CPA Firms name, Contact & Phone number _____
 - c. Audit not cost effective or undue burden. Please explain: _____
 - Any other reasons for audit being undue burden or unnecessary. e.g. Not Cost Effective, Single Member LLC, Sole Proprietorship, etc. _____
8. Alternate Form of Financial Statement/Reports being provided in lieu of certified audit reports (Check all that you can provide)
 - CPA Compiled /Reviewed Internally Generated Financial Statement,
 - Statement of Revenue and Expenditure by Program, Copy of Tax return

Signature	Date
OFFICE USE: ___ Recommended ___ Denied Vendor Type: Low Risk/High Risk	
Comments/ alternate form of Financial and/or Program compliance monitoring being implemented:	
Signature	Date

You can fax or email this form to: Fax (414) 289-8574 Email: skalia@milwcnty.com

Section 3: Required Annual Audit Schedules

Schedule of Program Revenue and Expense

Schedule of Revenue and Expense by Funding Source

Schedules Required by Provider Agency Audit Guide\Department of Health Services Audit Guide

Schedule of Expenditures of Federal and State Awards

Incorporated Group Home/Child Caring Institution Supplemental Schedule

Reserve Supplemental Schedule

Schedule of Findings and Questioned Costs

SECTION 6.3: REQUIRED ANNUAL AUDIT SCHEDULES

6.3.1 Schedule of Program Revenue and Expense

Prepare a separate Program Revenue and Expense Schedule for each program contracted. Each program contracted is represented by a separate line item on Exhibit I of the Purchase of Service Contract or Attachment A of the Fee For Service Agreement, and has a separate Budget Form 3 in the proposal submission. **DO NOT COMBINE MULTIPLE PROGRAMS INTO A SINGLE PROGRAM REVENUE AND EXPENSE SCHEDULE.**

Specific Instructions

Actual. In the column labeled “Actual”, report the actual costs incurred for the program during 2011 or the fiscal period ending in 2011. Do not include costs unallowable under the allowable costs principles contained in the *Allowable Cost Policy Manual, 1999 revision, O.M.B. Circular A-122 or Code of Federal Regulations 48 CFR part 31.*

Approved Budget. In the column labeled “Approved Budget”, report the latest approved budget for the program, as calculated on Budget Forms 3 and 4. If you need to combine information from more than one Form 3 and Form 4 in order to encompass the entire budget for this program, **STOP.** Two or more programs have been combined in the report. The total actual expenses reported in this schedule will be compared to one and only one program budget. **MONEY WILL BE OWED BACK TO MILWAUKEE COUNTY.** Prepare a separate Program Revenue and Expense Schedule for each individual program.

Variance from Budget. In the column labeled “Variance From Budget” report the difference between the actual expenses incurred and the approved budget. Actual expenses in excess of the approved budget will be reported as positive amounts; actual expenses less than the approved budget amount will be reported as negatives.

Revenues. Report program revenues for all services performed in 2012 identified by the line items indicated. **DO NO COMBINE LINE ITEMS.** These line items correspond to the budget forms submitted with the original proposal, were part of the basis used in determining the contract amount and/or rate, and are incorporated into your contract by reference.

Expenses. Report program expenditures for all services performed in 2012 identified by the line items indicated. **DO NO COMBINE LINE ITEMS.** These line items correspond to the budget forms submitted with the original proposal, were part of the basis used in determining the contract amount and/or rate, and are incorporated into your contract by reference. As indicated in the examples previously presented, combination of line items may result in un-allowability of otherwise allowable costs.

NAME OF AGENCY
Schedule of Program Revenues and Expenses
For the Year Ended December 31, 2XXX

Program Name : _____

	Actual	Approved Budget	Variance from Budget
Revenues:			
DHHS Purchase of Service Contract	XXX	XXX	XXX
DHHS LTS Revenue (CIP/COP)	XXX	XXX	XXX
DHHS IPN/FFSN Revenues	XXX	XXX	XXX
MCDAs (Aging) Revenue	XXX	XXX	XXX
Other Program Revenues	XXX	XXX	XXX
Total Revenues	XXX	XXX	XXX
Expenses:			
Salaries	XXX	XXX	XXX
Employee Benefits	XXX	XXX	XXX
Payroll Taxes	XXX	XXX	XXX
Professional Fees	XXX	XXX	XXX
Supplies	XXX	XXX	XXX
Telephone	XXX	XXX	XXX
Postage and Shipping	XXX	XXX	XXX
Occupancy	XXX	XXX	XXX
Equipment Costs	XXX	XXX	XXX
Printing and Publications	XXX	XXX	XXX
Employee Travel	XXX	XXX	XXX
Conferences, Conventions, Meetings	XXX	XXX	XXX
Specific Assistance to Individuals	XXX	XXX	XXX
Membership Dues	XXX	XXX	XXX
Awards and Grants	XXX	XXX	XXX
Allocated Costs (From Indirect Cost Allocation Plan, if applicable)	XXX	XXX	XXX
Client Transportation	XXX	XXX	XXX
Miscellaneous	XXX	XXX	XXX
Depreciation or Amortization	XXX	XXX	XXX
Allocations to Agencies, Payments to affiliated Organizations	XXX	XXX	XXX
Total Expenses	XXX	XXX	XXX
Net Profit	XXX	XXX	XXX
Allowable Profit (include calculation)	XXX	XXX	XXX
Net Profit in excess of Allowable Profit	XXX	XXX	XXX

6.3.2 Schedule of Revenue and Expenses by Funding Source

The Schedule of Revenues and Expenses by Funding Source incorporates all revenues and expenses for Milwaukee County DHHS funded programs as well as all other contracts, programs and functions of the Agency.

Milwaukee County DHHS Funded Programs. Report the total funding from Milwaukee County DHHS funded programs by Division – Disabilities Services Division (DSD), Delinquency & Court Services Division (DCSD), Management Services Division (MSD), Behavioral Health Division (BHD), and Wraparound Milwaukee and other Fee for Service Networks (e.g. CLTS, CCSN, Wiser Choice, etc.). It is not necessary to report each individual program separately; however, it is necessary to report programs funded by each of the Divisions separately. If a program is partially funded by Milwaukee County DHHS and partially funded by another source, it must be included here.

Other Programs. Report other programs, contracts and functions of the Agency that are not funded by Milwaukee County DHHS. These would include Contracts with and Programs funded by Municipalities, Other Counties, the State of Wisconsin, and other Agencies. If a program is partially funded by Milwaukee County DHHS and partially funded by another source, do not include it here, it must be included under “Milwaukee County DHHS Funded Programs.”

Indirect Costs. Report all indirect costs, allocable and unallocable, in this column. **Note**, not all indirect costs are allocable to federal, state, or county funded programs.

Total Agency. Sum all the reported revenues and expenses from the previous columns and place the total in the final column. The amounts in the final column should agree with the Agency-wide Statement of Operations or Income Statement.

Revenues and Expenses. Please do not alter the line items identified in this Schedule. These line items correspond to the line items in the approved budget upon which the Contract amount and/or rate were based.

Allocated Costs. Report the indirect costs allocated to each program or contract in each respective columns. Report the total costs allocated to all the programs as a negative figure in the “Indirect Costs” column. When this row is summed across, the total for this line reported in the “Total Agency” column should be zero.

SCHEDULE OF REVENUES AND EXPENSES BY FUNDING SOURCE

**NAME OF AGENCY
Schedule of Revenues and Expenses By Funding Source
For the Year Ended December 31, 20XX**

	Milwaukee County DHHS Funded Programs					Other Programs	Indirect Cost	Total Agency
	DSD	DCSD	ESD	BHD	IPN / FFSN			
Revenues:								
DHHS Purchase of Service Contract	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
DHHS LTS Revenue (CIP/COP)	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
DHHS IPN/FFSN Revenues	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
MCDA (Aging) Revenue	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Other Program Revenues	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Total Revenues	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Expenses:								
Salaries	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Employee Benefits	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Payroll Taxes	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Professional Fees	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Supplies	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Telephone	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Postage and Shipping	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Occupancy	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Equipment Costs	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Printing and Publications	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Employee Travel	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Conferences, Conventions, Meetings	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Specific Assistance to Individuals	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Membership Dues	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Awards and Grants	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Allocated Costs (From Indirect Cost Allocation Plan, if applicable)	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Client Transportation	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Miscellaneous	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Depreciation or Amortization	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Allocations to Agencies, Payments to affiliated Organizations	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Total Expenses	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Net Profit	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Allowable Profit (include calculation)	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Net Profit in excess of Allowable Profit	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX

6.3.3 Schedules Required by the Provider Agency Audit Guide/ Department of Health Service Audit guide DHSAG) latest revision

In addition to the above schedules, the Wisconsin Provider Agency Audit Guide/ *Department of Health Service Audit guide DHSAG) latest revision* has several required schedules. These schedules are also required to be included in the annual audit report by the Milwaukee County Purchase of Service Contract and/or Fee for Service Agreement. Please refer to the Provider Agency Audit Guide/ *Department of Health Service Audit guide DHSAG) latest revision* for instructions and information regarding each of these schedules.

6.3.3.1 Schedule of Expenditures of Federal and State Awards. Follow the format and instructions contained in the *Provider Agency Audit Guide/ Department of Health Service Audit guide DHSAG) latest revision* and the *Purchase of Service Contract and/or Fee for Service Agreement with the Milwaukee County DHHS*. There are differences between the Schedule of Expenditures of Federal Awards required by *O.M.B. Circular A-133* and the Schedule of Expenditures of Federal and State Awards contained in the *Provider Agency Audit Guide*. Prepare the Schedule under the requirements of the *Provider Agency Audit Guide*.

6.3.3.2 Incorporated. Group Home/Child Caring Institution Supplemental Schedule. Follow the format and instructions contained in the *Provider Agency Audit Guide/ Department of Health Service Audit guide DHSAG) latest revision*. This form includes a calculation of the allowable reserve for Non-profit Agencies. **For Profit Entities are not permitted to retain a reserve under Federal or State Guidelines.** Non-profit Agencies wishing to retain a reserve **MUST** complete the reserve schedule at the bottom of the form.

6.3.3.3 Reserve Supplemental Schedule. Follow the format and instructions contained in the *Provider Agency Audit Guide/ Department of Health Service Audit guide DHSAG) latest revision*. Non-profit Agencies contracting for services on a prospective unit-rate basis are permitted to retain a reserve under State guidelines. **For Profit Entities are not permitted to retain a reserve under Federal or State Guidelines.** Non-profit Agencies wishing to retain a reserve **MUST** complete the reserve supplemental schedule.

6.3.3.4 Schedule of Findings and Questioned Costs. Follow the format and instructions contained in the *Provider Agency Audit Guide/ Department of Health Service Audit guide DHSAG) latest revision*. There are differences between the Schedule of Findings and Questioned Costs required by *O.M.B. Circular A-133* and the Schedule of Findings and Questioned Costs for audits performed in accordance with Circular A-133 contained in the *Provider Agency Audit Guide/ Department of Health Service Audit guide DHSAG) latest revision*. Prepare the Schedule under the requirements of the *Provider Agency Audit Guide/ Department of Health Service Audit guide DHSAG) latest revision*. Failure to include a Schedule of Findings and Questioned Costs consistent with the *Provider Agency Audit Guide/ Department of Health Service Audit guide DHSAG) latest revision* may result in requesting a properly prepared schedule before accepting the audit. Please refer to *Milwaukee County Department of Health and Human Services Administrative Probation Policy* regarding potential consequences if the audit is not accepted as submitted, and the auditor does not remedy the shortcomings.

Illustration 7.4 Schedule of Expenditures of Federal and State Awards

**Example Agency
Schedule of Expenditures of Federal and State Awards¹
For the Year Ended June 30 19X1**

<u>Federal Grantor/Pass-Through Grantor/Program or Cluster Title Expenditures</u>	<u>Federal CFDA Number</u>	<u>Pass-Through Entity Identifying Number²</u>	<u>Federal</u>
U.S. Department of Agriculture: Pass-Through Program From: Wisconsin Department of Health and Family Services			
Special Supplemental Food \$350,000	10.557	147071, 147080	
Program for Women, Infants, And Children		& 147156	(Note B) ³
Total Expenditures of Federal Awards			<u>\$350,000</u>
<u>State Grantor/Program Expenditures</u>		<u>State Identifying Number</u>	<u>State</u>
Wisconsin Department of Health and Family Services:			
GPR Childhood Lead	na	177010	\$85,000
GPR Lead Poisoning	na	177020	<u>\$15,000</u>
Total Expenditures of State Awards			<u>\$100,000</u>

The accompanying notes are an integral part of this schedule.
(These notes are on the following page.)

1 Additional formats for this schedule are available in the AICPA's Statement of Position 98-3 "Audits of States, Local Governments, and Not-for-Profit Organizations Receiving Federal Awards." Also, some providers prefer other formats for the schedule to better suit their circumstances and the information needs of their report users. Providers can use other formats if they include the elements for this schedule that are listed in Section 7.1.4.

2 Use the Community Aids Reporting System (CARS) profile number, purchase order number, or contract number for the Pass-Through Entity Identifying Number and the State Identifying Number.

3 If federal, state, and local funds are commingled and if the commingled portion cannot be separated to specifically identify the individual funding sources, the total amount should be included in the schedule, with a note describing the commingled nature of the funds.

Illustration 7.9 Schedule of Findings and Questioned Costs, Continued

**Example A – An agency-wide audit in accordance
with just the *Provider Agency Audit Guide***

**Example Agency
Schedule of Findings and Questioned Costs
For the Year Ended June 30 19X1**

A. Summary of Auditor's Results

Financial Statements

- | | |
|---|---------------|
| 1. Type of auditors' report issued? | Unqualified |
| 2. Internal control over financial reporting: | |
| a. Material weakness(s) identified? | No |
| b. Reportable condition(s) identified not considered to be material weaknesses? | None reported |
| 3. Noncompliance material to the financial statements noted? | No |

B. Financial Statement Findings

No matters were reported

C. Other issues

- | | |
|--|-------|
| 1. Does the auditor have substantial doubt as to the auditee's ability to continue as a going concern? | No |
| 2. Does the audit report show audit issues (i.e. material non-compliance, non-material non-compliance, questioned costs, material weakness, reportable condition, management letter comment, excess revenue or excess reserve) related to grants/contracts with funding agencies that require audits to be in accordance with the <i>Provider Agency Audit Guide</i> : | |
| Department of Health and Family Services | Yes |
| Department of Workforce Development | N/A |
| Department of Corrections | N/A |
| 3. Was a Management Letter or other document conveying audit comments issued as a result of this audit? (yes/no) | No |
| 4. Name and signature of partner | _____ |
| 5. Date of report | _____ |

Illustration 7.9 Schedule of Findings and Questioned Costs, Continued

**Example B – An agency-wide audit in accordance with both
the Provider Agency Audit Guide and OMB Circular A-133**

**Example Agency
Schedule of Findings and Questioned Costs
For the Year Ended June 30 19X1**

A. Summary of Auditor's Results

Financial Statements

- | | |
|---|---------------|
| 1. Type of auditors' report issued? | Unqualified |
| 2. Internal control over financial reporting: | |
| a. Material weakness(s) identified? | No |
| b. Reportable condition(s) identified not considered to be material weaknesses? | None reported |
| 3. Noncompliance material to the financial statements noted? | No |

Federal Awards

- | | |
|---|---------------|
| 4. Internal control over major programs: | |
| a. Material weakness(s) identified? | No |
| b. Reportable condition(s) identified not considered to be material weaknesses? | None reported |
| 5. Type of auditor's report issued on compliance for major programs? | Unqualified |

- | | |
|--|----|
| 6. Any audit findings discloses that are required to be reported in accordance with Circular A-133, Section .510(a)? | No |
|--|----|

- | | | |
|--|-----------------|---------------|
| 7. Identification of major programs: | <u>CFDA No.</u> | <u>Amount</u> |
| Special Supplemental Food Program for Women, Infants, and Children | 10.557 | \$350,000 |

- | | |
|---|-----------|
| 8. Dollar threshold used to distinguish between Type A and Type B programs? | \$300,000 |
|---|-----------|

- | | |
|---|----|
| 9. Auditee qualified as low-risk auditee? | No |
|---|----|

B. Financial Statement Findings No matters were reported

C. Federal and State Award Findings and Questioned Costs No matters were reported

D. Other Issues

- | | |
|--|----|
| 1. Does the auditor have substantial doubt as to the auditee's ability to continue as a going concern? | No |
|--|----|

- | | |
|--|-----|
| 2. Does the audit report show audit issues (i.e. material non-compliance, non-material non-compliance, questioned costs, material weakness, reportable condition, management letter comment, excess revenue or excess reserve) related to grants/contracts with funding agencies that require audits to be in accordance with the <i>Provider Agency Audit Guide</i> : | |
| Department of Health and Family Services | Yes |
| Department of Workforce Development | N/A |
| Department of Corrections | N/A |

- | | |
|--|----|
| 3. Was a Management Letter or other document conveying audit comments issued as a result of this audit? (yes/no) | No |
|--|----|

- | | |
|----------------------------------|--|
| 4. Name and signature of partner | |
|----------------------------------|--|

- | | |
|-------------------|--|
| 5. Date of report | |
|-------------------|--|

DISABILITIES SERVICES DIVISION

SECTION 7:

FORMS

7. FORMS

- All other required forms have been included in the respective sections, except linked budget forms, which are available for download from the Contract Administration website at: http://county.milwaukee.gov/DHHS_bids

DISABILITIES SERVICES DIVISION

**SECTION 8:
APPENDICES**

8. APPENDICES

- Department of Audit Hotline Flyer
- Designation of Confidential and Proprietary Information
- Statement of Deviations and Exceptions



MILWAUKEE COUNTY GOVERNMENT

H O T L I N E

**Ph: (414) 93-FRAUD – Fax: (414) 223-1895
(933-7283)**

**Write: Audit Hotline- 2711 W. Wells St., 9th Floor, Milwaukee, WI 53208
Website: my.execpc.com/~milcoaud**

A service of the Milwaukee County Comptroller's Office

For Reporting:

- **Incidents of fraud or waste in County government**
- **Concerns over inefficient Milwaukee County government operations**

CALLERS NOT REQUIRED TO IDENTIFY THEMSELVES

----- Other Numbers -----

Milwaukee County:		Sheriff's Department –	
Aging - Elder Abuse Helpline	414-289-6874	Community Against Pushers	414-273-2020
		(Anonymous Drug Reporting)	
Child Support - TIPS Hotline		Guns Hotline	414-278-4867
(Turn in Parents for Support)	414-278-5222		
District Attorney –		State of Wisconsin:	
Consumer Fraud Unit	414-278-4646	Child Abuse or Neglect Referrals	414-220-7233
Public Integrity Unit	414-278-4645	DOJ Consumer Protection Unit	1-800-998-0700
Mental Health		Wisconsin W-2 Fraud Hotline	1-877-865-3432
Crisis Hotline	414-257-7222	Wisconsin Child Care Fraud	1-877-302-3728
Crisis Hotline (TTY/TDD)	414-257-6300	Legislative Audit Bureau Hotline	1-877-372-8317
City of Milwaukee:		Federal:	
Fraud Hotline	414-286-3440	Medicare Fraud	1-800-447-8477
		Social Security Fraud	1-800-269-0271
		Federal Funds Fraud (FraudNet)	1-800-424-5454

(7/2/12)

DESIGNATION OF CONFIDENTIAL AND PROPRIETARY INFORMATION

The attached material submitted in response to the 2013 RFP includes proprietary and confidential information, which qualifies as a trade secret, as provided in s. 19.36(5), Wis. Stats. or is otherwise material that can be kept confidential under the Wisconsin Open Records Law. As such, we ask that certain pages, as indicated below, of this proposal response be treated as confidential material and not be released without our written approval.

Prices always become public information when proposals are open, and therefore cannot be kept confidential.

Other information cannot be kept confidential unless it is a trade secret. Trade secret is defined in s. 134.90(1)(c). Wis. Stats. As follows: "Trade secret" means information, including a formula, pattern, compilation, program, device, method, technique or process to which all of the following apply:

1. The information derives independent economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use.
2. The information is the subject of efforts to maintain its secrecy that are reasonable under the circumstances.

We request that the following pages not be released:

Section	Page #	Topic
---------	--------	-------

IN THE EVENT THE DESIGNATION OF CONFIDENTIALITY OF THIS INFORMATION IS CHALLENGED, THE UNDERSIGNED HERBY AGREES TO PROVIDE LEGAL COUNSEL OR OTHER NECESSARY ASSISTANCE TO DEFEND THE DESIGNATION OF CONFIDENTIALITY AND AGREES TO HOLD MILWAUKEE COUNTY HARMLESS FOR ANY COSTS OR DAMAGES ARISING OUT OF MILWAUKEE COUNTY'S AGREEMENT TO WITHOLD THE MATERIALS.

Failure to include this form in the RFP may mean that all information provided as part of the proposal response will be open to examination and copying. Milwaukee County considers other markings of confidential in the proposal document to be insufficient. The undersigned agrees to hold Milwaukee County harmless for any damages arising out of the release of any materials unless they are specifically identified above.

Company Name _____

Authorized Representative _____
Signature

Authorized Representative _____
Type or Print

Date _____

STATEMENT OF DEVIATIONS AND EXCEPTIONS

Proposer(s) has reviewed the RFP and other Requirements in their entirety and has the following exceptions and deviations:

(Please list your exceptions and deviations by indicating the section or paragraph number, and page number, as applicable. Deviations and exceptions from original text, terms, conditions, or specifications shall be described fully. Be specific about your objections to content, language, or omissions. Add as many pages as required.)

Name of Authorized Representative

Title

Signature of Authorized Representative

Date