Request for Proposals

Minnesota Accountable Health Model
Health Information Exchange (HIE) and
Data Analytics Grant Program

Funding Announcement: September 20, 2016
# TABLE OF CONTENTS

## General Information 3-6
1. Overview 3
2. Estimated grant awards 3
3. Grant timeline 3
4. Introduction 4
5. Goals and outcomes 6

## Eligibility and Review 7-13
6. Eligible Applicants 7
7. Eligible Activities and Required Deliverables 7
8. RFP Questions 10
9. Intent to respond 10
10. Proposal Filing Requirements 10
   - List of Required Forms 11
   - Proposal submission 11
11. Proposal review and award process 12

## Proposal Instructions 14-21
12. Required Elements 14
   - Budget 17
13. Resources 20

## Required Forms (word versions available on RFP page) 22-33
- Form A: Application Cover Sheet 22
- Form B: Sample Work Plan Form 24
- Form C: Minnesota Accountable Health Model Budget Template 25
- Form D: Budget Justification Narrative Form 27
- Form E: Due Diligence Review Form 28
- Form F: Template Letter of Intent to Respond 31
- Form G: Continuum of Accountability Matrix Assessment Tool 32
- Form H: Continuum of Accountability Matrix Tally Sheet 33

## Appendices and Attachments 34-56
- Appendix A: Glossary 34
- Appendix B: Sample MDH Grant Agreement 43
1. Overview

The Minnesota Department of Health (MDH) requests proposals for the Minnesota Accountable Health Model Health Information Exchange (HIE) and Data Analytics grant program. This grant opportunity is intended to support advancement of the Minnesota Accountable Health Model and will provide funding to implement and expand HIE and data analytics capabilities.

The Minnesota Accountable Health Model HIE and Data Analytics Grant Program will leverage the work of the Minnesota e-Health Initiative and Integrated Health Partnerships to help support providers in achieving the goals of the triple aim:\(^1\): improving the patient experience of care (including quality and satisfaction), improving the health of populations and reducing the per capita cost of health care.

2. Available Funding and Estimated Awards

Up to $1 million is available for grants to implement and expand HIE and data analytics capabilities. The range of awards is estimated to be from up to $100,000 to $200,000 per grant (approximately 5-10 awards). The awards will provide funding for nine months. The grant timeline is January 2017 through September 2017.

The commissioners shall award grants to community collaboratives in metropolitan and rural areas of the state, and shall ensure geographic representation in awards among all regions of the state.

This RFP does not obligate the State to award a contract or complete the project, and the State reserves the right to cancel the solicitation if it is considered to be in its best interest. All costs incurred in responding to this RFP will be borne by the responder. Funding is subject to availability of funds and dependent on continuation of funding through 2017 by the Centers for Medicare and Medicaid Innovation.

3. Grant Timeline

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
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</thead>
<tbody>
<tr>
<td>RFP posted</td>
<td>Tuesday, September 20, 2016</td>
</tr>
<tr>
<td>Required Non-binding Letters of Intent to Respond due to MDH</td>
<td>Thursday, October 6, 2016, 4:00 p.m. Central Time</td>
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<tr>
<td>Proposals due to MDH</td>
<td>Friday, November 4, 2016, 4:00 p.m. Central Time</td>
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<tr>
<td>Estimated notice of awards</td>
<td>Monday, December 5, 2016</td>
</tr>
<tr>
<td>Estimated grant period</td>
<td>January 1, 2017 – September 30, 2017</td>
</tr>
</tbody>
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\(^1\) [http://www.ihi.org/explore/tripleaim/pages/default.aspx](http://www.ihi.org/explore/tripleaim/pages/default.aspx)
4. Introduction

E-health is the adoption and effective use of electronic health record (EHR) systems and other health information technology (HIT) including health information exchange (HIE) to improve health care quality, increase patient safety, reduce health care costs, and enable individuals and communities to make the best possible health decisions.

Minnesota has been a leader in e-health through the Minnesota e-Health Initiative². Established in 2004, the Initiative was established as a public-private collaboration to pursue strong policies and practices to accelerate e-health with a focus on achieving interoperability (the ability to share information seamlessly) across the continuum of care. Policy makers in Minnesota have recognized that more effective use of health information technology – including timely exchange of information – is needed to improve quality and safety of care, as well as to help control costs. Toward that end, Minnesota enacted legislation in 2007 that requires all health and health care providers in the state to implement an interoperable electronic EHR system by January 1, 2015 (Minnesota Statutes §62J.495)³

In order to help providers achieve the 2015 interoperable EHR mandate, the Initiative developed the Minnesota Model for Adopting Interoperable EHRs (Figure 1) in 2008, to outline seven practical steps leading up to and including EHR interoperability. This model groups each of the steps into three major categories that apply to all aspects of the Initiative’s work and policy development.

Figure 1. Minnesota Model for Adopting Interoperable Electronic Health Records

In recent years, federal funding has supported Minnesota’s e-health efforts and contributed to high rates of EHR adoption and growing rates of effective use and health information exchange as documented in Minnesota e-Health assessment reports, factsheets and briefs⁴. However, this support ends in 2014, and e-health challenges and disparities still exist in settings such as long-term and post-acute care, local public health, behavioral health, social services, and other settings. In addition, there is a need for e-health technical assistance and education in the areas such as privacy and security, standards and interoperability, and health information exchange sustainability.

The Minnesota Accountable Health Model is a State Innovation Model (SIM) testing grant awarded by the Center for Medicare & Medicaid Innovation⁵ to the Minnesota Department of Human Services (DHS) and Minnesota Department of Health (MDH) in 2013. The purpose of the SIM-Minnesota project is to provide Minnesotans with better value in health care through integrated, accountable care using innovative payment and care delivery models that are responsive to local health needs. The funds will be used to help providers and communities work together to create healthier futures for Minnesotans, and drive health care reform in the state.

² http://www.health.state.mn.us/e-health/abouthome.html
³ https://www.revisor.mn.gov/statutes/?id=62j.495
⁴ http://www.health.state.mn.us/e-health/assessment.html#brief
⁵ http://innovations.cms.gov
The vision of the Minnesota Accountable Health Model is:

- Every patient receives coordinated, patient-centered primary care.
- Providers are held accountable for the care provided to Medicaid enrollees and other populations, based on quality, patient experience and cost performance measures.
- Financial incentives are fully aligned across payers and the interests of patients, through payment arrangements that reward providers for keeping patients healthy and improving quality of care.
- Provider organizations effectively and sustainably partner with community organizations, engage consumers, and take responsibility for a population’s health through accountable communities for health that integrate medical care, mental/chemical health, community health, public health, social services, schools and long term supports and services.

The Minnesota Accountable Health Model will test whether increasing the percentage of Medicaid enrollees and other populations in accountable care payment arrangements will improve the health of communities and lower costs of health care delivery. To accomplish this, the state will build upon the Integrated Health Partnerships (IHP) demonstration\(^6\), formerly called the Health Care Delivery Systems (HCDS) demonstration, administered by the Department of Human Services.

The expanded focus will be on the development of integrated community service delivery models and use coordinated care methods to integrate health care, behavioral health, long-term and post-acute care, local public health, and social services centered on patient needs. The model will also encourage addressing the non-clinical (social determinants) determinants of health at a community level.

To achieve the vision of shared cost and coordinated care, the Minnesota Accountable Health Model includes key investments in five drivers that are necessary for accountable care models to be successful.\(^7\)

**Driver-1** Providers have the ability to exchange clinical data for treatment, care coordination, and quality improvement—HIT/HIE

**Driver-2** Providers have analytic tools to manage cost/risk and improve quality—Data Analytics

**Driver-3** Expanded numbers of patients are served by team-based integrated/coordinated care—Practice Transformation

**Driver-4** Provider organizations partner with communities and engage consumers, to identify health and cost goals, and take on accountability for population health—ACH

**Driver-5** ACO performance measurement, competencies, and payment methodologies are standardized, and focus on complex populations—ACO Alignment

The activities contained in this RFP are linked to Drivers 1 and 2. The ability to exchange health information for treatment and care coordination, as well as having the analytic tools to manage cost and risk for an attributed population which is key to improved health care quality and population health.

Through the Minnesota Accountable Health Model, Minnesota is working to achieve the vision of the Triple Aim: improved consumer experience of care, improved population health, and lower per capita health care costs. Tools have been developed to assess a broad range of organization readiness to expand the “triple aim”. The Minnesota Accountable Health Model: Continuum of Accountability


\(^7\) [http://www.dhs.state.mn.us/dhs16_182962.pdf](http://www.dhs.state.mn.us/dhs16_182962.pdf)
Matrix is designed to illustrate the basic capabilities, relationships, and functions that organizations or partnerships should have in place in order to achieve the long-term vision of the Minnesota Accountable Health Model. It will help the state identify criteria and priorities for investment, and lay out developmental milestones that demonstrate organizations or partnerships are making progress towards the vision.

In addition, the Minnesota Accountable Health Model: Continuum of Accountability Matrix Assessment Tool is an interactive tool that allows organizations to answer questions to determine their location on the matrix continuum. MDH and DHS will use this tool to better understand SIM-Minnesota participants and status in achieving the goals of the Minnesota Accountable Health Model, what SIM supports are needed to achieve the goals, and how we may be able to provide additional tools or resources. This tool will be used to help us develop targets and goals for participating organizations, and to assess their progress. For more information on the SIM grant, the Minnesota Accountable Health Model and other health reform activities visit State Innovation Model Grant.

This RFP is for the Minnesota Accountable Health Model Health Information Exchange and Data Analytics Grant Program.

5. Goals and Outcomes

The goals of this grant program are to advance the secure exchange of health information between and among organizations in support of Minnesota’s market-based HIE approach and to support data analytics work for more effectively identifying opportunities to improve health care and population health. HIE and data analytics projects are intended to support the Minnesota Accountable Health Model and to enhance or accelerate an organization’s ability to achieve the goals of the Triple Aim of health care which include: improving the patient care experience (including quality and satisfaction), improving the health of populations and reducing the per capita cost of health care.

It is expected that projects supported by these funds are part of existing HIE or analytic efforts; are already in beginning stages of implementation; or have completed sufficient scoping and requirements planning such that funded applicant could immediately begin work on the proposed project.

For this RFP, health information exchange (HIE) refers to the implementation of a specific transaction(s) necessary to support care coordination and population health, such as admit discharge transfer alerts (ADTs) or care summaries (e.g., CCDs), through connection to a State-Certified Health Information Organization (HIO) either directly or through a State-Certified Health Data Intermediary (HDI).

For this RFP, data analytics refers to the ability to integrate, aggregate or utilize clinical, administrative and financial information into organization and provider decision-making processes in a systematic and meaningful way.

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8 [http://www.dhs.state.mn.us/main/idcplg?IdcService=GET_FILE&RevisionSelectionMethod=LatestReleased&Rendition=Primary&allowInterrupt=1&noSaveAs=1&dDocName=dhs16_188556](http://www.dhs.state.mn.us/main/idcplg?IdcService=GET_FILE&RevisionSelectionMethod=LatestReleased&Rendition=Primary&allowInterrupt=1&noSaveAs=1&dDocName=dhs16_188556)
9 [http://www.dhs.state.mn.us/SIM_Docs_Reps_Pres.html](http://www.dhs.state.mn.us/SIM_Docs_Reps_Pres.html)
10 [http://www.mn.gov/sim](http://www.mn.gov/sim)
6. Eligible Applicants

Applicants must be organizations participating in an Integrated Health Partnership (IHP)\(^\text{11}\) demonstration with the Minnesota Department of Human Services (DHS) or be currently funded through the Minnesota Department of Health (MDH) e-Health (Community Collaborative) Grant Program.

Eligible applicants for this grant include participants of the Integrated Health Partnerships (IHP) demonstration, formerly called the Health Care Delivery Systems (HCDS) demonstration. To receive funds an organization must be a contracted IHP with the DHS, or have submitted a response to the 2016 RFP (due 08/19/16) to become an IHP for 2017. IHPs may partner, employ or subcontract with other organizations in order to accomplish their proposed projects.

Eligible applicants are also e-Health Community Collaborative grantees currently funded by MDH. To receive funds an organization must have an e-Health grant agreement with MDH through December 31, 2016. E-Health Community Collaboratives may partner, employ or subcontract with other organizations in order to accomplish their proposed projects.

*In order to avoid duplication of projects and increase efficiency of the proposed project special consideration will be given to IHPs and or e-Health Community Collaboratives who submit proposals together and/or that include small and independent providers.*

7. Eligible Activities

Eligible Applicants must focus on implementing specific HIE transactions through connectivity to a State-Certified Health Information Organization (HIO) either directly or through a State-Certified Health Data Intermediary (HDI)\(^\text{12}\) and/or implementing data analytics capabilities to support care coordination and population health and advance the Minnesota Accountable Health Model. Eligible applicants may apply for funds for an HIE, data analytics or combined HIE and data analytics project. Eligible applicants may only submit one proposal for any or all projects for the maximum allowed $200,000 grant amount.

Minnesota Statute §62J.495 (Electronic Health Record Technology), requires that “[b]y January 1, 2015, all hospitals and health care providers must have in place an interoperable electronic health record (EHR) system within their hospital system or clinical practice setting. The statute also specifies exceptions to the mandate: “*Individual health care providers in private practice with no other providers and health care providers that do not accept reimbursement from a group purchaser, as defined in section §62J.03, subdivision 6, are excluded from the requirements of this section.*”

Eligible Activities:

*Health Information Exchange (HIE)*

- Establish connectivity to a State-Certified Health Information Organization (HIO) either directly or through a State-Certified Health Data Intermediary (HDI) **AND** implement transaction(s) necessary to support care coordination and population health (e.g., admit discharge transfer alerts (ADTs), care summaries [e.g., CCDs]).
- Implement collaborative governance structure(s) (e.g., data use and/or business associate agreements) to form an HIO and pursue state certification (*Note: fees for state certification are not eligible costs*)

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\(^{12}\) [http://www.health.state.mn.us/divs/hpsc/ohit/certified.html](http://www.health.state.mn.us/divs/hpsc/ohit/certified.html)
• Implement HIE transactions to support quality measurement reporting and quality improvement.

• Use HIE transactions to help engage consumers, patients and/or the community to support population health.

Note: Activities that are currently funded by the e-Health Community Collaborative Grant Program through the Minnesota Accountable Health State Innovation Model are not eligible for funding and should not be included in the grant proposals.

Data Analytics

• Employ data analysts, clinical information specialists, etc. to support analytics efforts

• Contract with analytics vendor(s) to integrate analytics tools into the organization’s care delivery processes or existing health care technology infrastructure

• Use analytics to conduct health care quality improvement projects - specifically those that address population health and health disparities in the community

• Maintain or expand ongoing analytics projects (if current funding is insufficient funds would force current project to end)

• Use analytics to evaluate or measure a cost or quality initiative

• Work with DHS or other county partners to integrate information about social service supports or other social determinant data for attributed Minnesota Health Care program enrollees into existing IHP analytic tools

• Implement tools that enable use of patient reported outcomes and patient engagement metrics

Note: Activities that are currently funded by the Data Analytics Grant Program, or which could be completed through the technical assistance of the data analytic vendor contracted by DHS through the Minnesota Accountable Health State Innovation Model are not eligible for funding and should not be included in the grant proposals.

Required Deliverables:

1. Implement transaction(s) necessary to support care coordination and population health (e.g., admit discharge transfer alerts (ADTs), care summaries [e.g., CCDs]) through connection to a State-Certified Health Information Organization (HIO) either directly or through a State-Certified Health Data Intermediary (HDI)

   AND/OR

   Implement a data analytics project, or improve and maintain an existing data analytics project, within the Integrated Health Partnership. The project should advance the organization’s ability to more effectively use clinical and administrative data to improve cost or quality of care in the organization, and enable the organization to progress through the developmental milestones in the Minnesota Accountable Health Model: Continuum of Accountability Matrix.

2. Submit pre-grant and post-grant descriptions of the IHP or e-Health Community Collaborative “location” on the Minnesota Accountable Health Model: Continuum of Accountability Matrix including the Assessment Tool results Minnesota Accountable Health Model: Continuum of Accountability Matrix Assessment Tool. Include detailed descriptions of how capabilities improved as a result of grant funding.

3. Submit copies of all tools, resources or other guidance.

13 http://www.dhs.state.mn.us/DHS16_196711.html
4. Submit quarterly written progress reports, content and detail to be described by MDH.
   ▪ **HIE projects**: Describe current HIE use: identify HIO, and HDI if applicable: list HIE services; and an estimate of number of transactions currently exchanged (paper and electronic) annually, and detailed list of sharing partners with whom patient data are being exchanged.
   ▪ **Data analytics projects**: Reporting Requirements include submitting detailed descriptions of how the IHP data analytic capabilities improved as a result of grant funding. Submit quarterly updates to the State on project progress. The report content and detail will be determined by the State in conjunction with the IHP based on the nature and scope of the IHP project, but will include at least an assessment of the organization’s success based on the methods and criteria outlined in the organization’s Evaluation Plan. Expected report areas of content would include status towards meeting project objectives, and lessons learned.

5. Submit final report, content and detail to be described by MDH including lessons learned.

6. If applicable, present findings related to HIE or data analytics projects at conferences and meetings. Recipients of data analytics grants may present at the IHP learning day event hosted by the State and held in the fall in Minnesota for IHPs to share best practices and collaborate on possible solutions to challenges and concerns and/or at least one of the quarterly IHP data user group webinar forums. Recipients of HIE grants should consider presenting the Minnesota e-Health Summit.

In addition to Required Deliverables and Activities, the grant participation requirements include:

1. Participate in the overall Minnesota Accountable Health Model-SIM Minnesota grant evaluation with State including MDH, DHS and other staff or evaluation partners. All SIM-Minnesota funded projects are required to participate in the SIM-Minnesota project evaluation. MDH, DHS and Center for Medicare & Medicaid Innovation (CMMI) are identifying the components of the SIM-Minnesota project evaluation necessary to evaluate the Minnesota Accountable Health Model and SIM-Minnesota Grant. It is expected that the SIM-Minnesota project evaluation activities are not expected to exceed a total of 10 hours for the entire grant period.

2. Participate in State provided or identified trainings, meetings and technical assistance, including participation in any state-funded activities to develop e-health roadmaps for the Minnesota Accountable Health Model-SIM Minnesota priority settings that are applicable to the collaborative development plans.

3. Collaborate with any other contractors, grantees or partners associated with Minnesota Accountable Health Model-SIM Minnesota grant and Minnesota Accountable Health Model as appropriate. The State and its grantees, contractors and partners will leverage the learnings from each other through all the SIM-Minnesota Grant activities. It is expected that lessons learned from one activity could be of use to or influence the direction of another activity. For example, processes and lessons learned from the Minnesota e-Health Roadmap could be beneficial to the development of the e-Health Grant Program. Participate in State-provided or identified e-health assessment activities. This may include activities related to the SIM-Minnesota evaluation (see 2 above) or other health information technology or health information exchange assessment surveys the State may conduct during the grant period that may or may not be part of the quarterly reporting requirements in Section2.3. It is expected that the SIM-Minnesota project evaluation activities are not expected to exceed a total of 10 hours for the entire grant period.
8. RFP Questions

Questions regarding this RFP must be directed to mn.ehealth@state.mn.us. Questions and the responses to those questions will be posted publicly on the SIM HIE and Data Analytics Grant RFP webpage. Applicants may consider reviewing these questions and answers each week as the answers may be helpful for writing proposals.

The final deadline for submitting questions about the RFP is Friday, October 28, 2016 at 4:00 PM CST.

MDH staff are not authorized to discuss this RFP with any potential applicant before the submission deadline. Contacting, or attempting to contact, anyone at MDH regarding this RFP other than through the email address listed above is prohibited and may result in disqualification.

9. Intent to Respond (Required)

Potential applicants must submit a written Intent to Respond to MDH by Thursday, October 6, 2016. The applicant must use the non-binding Letter of Intent to Respond (template Form F on website). The letter should include the following: applicant organization name; contact person; contact person e-mail; and signature. Letters of Intent to Respond should be submitted via e-mail to: mn.ehealth@state.mn.us

10. Proposal Filing Requirements

APPLICATION REQUIREMENTS

Proposals must include all required proposal materials including attachments. Do not provide any materials that are not requested in the RFP, as such materials will not be considered nor evaluated. See Required Forms section for a list of required proposal forms. MDH reserves the right to deny funding to any applicant that does not meet these requirements.

By submitting a proposal, each applicant warrants that the information provided is true, correct, and reliable for purposes of evaluation for potential grant award. The submission of inaccurate or misleading information may be grounds for disqualification from the award, as well as subject the applicant to suspension or debarment proceedings as well as other remedies available by law.

Proposals must:
1. Meet the minimum requirements of eligible applicants and activities.
2. Include all required elements as detailed for each grant type in proposal instructions.
3. All proposals must be typed, using a single-spaced 12-point font and have no more than 10 pages of narrative.
4. Applicants are encouraged to be concise and to closely follow the grant proposal outline and guidance. Limit any additional documentation to information relevant to the specific scope and purpose of proposed project.
5. All pages must be numbered consecutively.
6. Template forms (available on the HIE and Data Analytics grant webpage) must be used.
7. Applications that do not use these template forms will not be accepted or considered.
8. Applicants must submit five paper copies of the proposal and an electronic version of the proposal on a USB drive via mail, courier or in-person delivery. For the electronic copy include both PDF and Word/Excel copies. Faxed or emailed applications will NOT be accepted.
9. Applicants must meet application deadline; late applications will not be reviewed.
10. Applications must be complete and signed where noted.
11. Incomplete applications will not be considered for review.
REQUIRED FORMS

Below is a listing of forms required for submission of the grant proposal. Forms are included in this RFP for reference only. Do not use the forms in the RFP; instead use the version of the forms posted on the webpage with the RFP link in completing the grant application. In some cases only the first part of the form is included in this RFP because of its length.

Form A: Application Cover Sheet
Form B: Sample Project Work Plan
Form C: Budget Form, Minnesota Accountable Health Model Contractor Budget Template
Form D: Budget Justification Narrative
Form E: Due Diligence Review Form
Form F: Letter of Intent to Respond Template
Form G: Minnesota Accountable Health Model: Continuum of Accountability Matrix Assessment Tool
Form H: Minnesota Accountable Health Model Continuum of Accountability Matrix Tally Sheet

PROPOSAL SUBMISSION

Five paper copies and an electronic copy on a USB drive of the proposal are required. Proposals must be received by 4:00 p.m. Central Time on Friday, November 4, 2016, at the following address:

Minnesota Department of Health
Office of Health Information Technology

Courier Address:
85 East 7th Place
Saint Paul, Minnesota 55101

Mailing Address:
P.O. Box 64882
Saint Paul, Minnesota 55164-0882

Proposals must be mailed or delivered. MDH will not be responsible for a proposal that is delayed or lost in by courier or postal service. No late, e-mailed or faxed proposals will be accepted.

Public Information

All proposals submitted in response to this RFP will become property of the State. In accordance with Minnesota Statute Section 13.599, all proposals and their contents are private or nonpublic until the proposals are opened. Once the proposals are opened, the name and address of each applicant and the amounts requested is public. All other data in a proposal or developed as part of the evaluation process is private or nonpublic data until completion of the evaluation process, which is defined by statute as when MDH has completed negotiating the grant agreements with all selected grantees. After MDH has completed the evaluation process, all remaining data in the proposals is public with the exception of trade secret data as defined by Minnesota Statute Section 13.37, Subdivision 1(b). A statement by a grantee that the proposal is copyrighted or otherwise protected does not prevent public access to the proposal.

http://www.dhs.state.mn.us/main/idcplg?IdcService=GET_DYNAMIC_CONVERSION&RevisionSelectionMethod=LatestReleased&dDocName=sim_ehealthgrant_round1and2
If an applicant submits any information in a proposal that it believes to be trade secret information, as defined by Minnesota Statute Section 13.37, Subdivision 1(b), the applicant must:

- Clearly mark all trade secret materials in its proposal at the time the proposal is submitted,
- Include a statement with its proposal justifying the trade secret designation for each item, and
- Defend any action seeking release of the materials it believes to be trade secret, and indemnify and hold harmless MDH and the State of Minnesota, its agents and employees, from any judgments or damages awarded against the State in favor of the party requesting the materials, and any and all costs connected with that defense. This indemnification survives MDH’s award of a grant contract. In submitting a proposal in response to this RFP, the applicant agrees that this indemnification survives as long as the trade secret materials are in possession of MDH.

MDH reserves the right to reject a claim that any particular information in a proposal is trade secret information if it determines the applicant has not met the burden of establishing that the information constitutes a trade secret. MDH will not consider the budgets submitted by applicants to be proprietary or trade secret materials. Use of generic trade secret language encompassing substantial portions of the proposal or simple assertions of trade secret without substantial explanation of the basis for that designation will be insufficient to warrant a trade secret designation.

**Conflicts of interest**

Applicants must provide a list of all entities with which it has relationships that create, or appear to create, a conflict of interest with the work that is contemplated in this RFP. The list must indicate the name of the entity, the relationship, and a discussion of the conflict. If an applicant does not submit a list of conflicts of interest, MDH will assume that no conflicts of interest exist for that applicant.

**11. Proposal Review and Award Process**

**Scoring Criteria**

Grant proposals will be reviewed and evaluated by a panel familiar with the program. The panel team members may include staff from the Minnesota Department of Health, Minnesota Department of Human Services, and the community at large.

The panel members will review the components of each proposal submitted. Each component will be evaluated on the applicant’s understanding and the quality and completeness of the applicant's approach and solution to the problems or issues presented. After reviewing the proposals, the panel members will score each proposal based on a 100-point scale listed here:

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Maximum Points</th>
</tr>
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<tbody>
<tr>
<td>Abstract and Applicant Description</td>
<td>20 points</td>
</tr>
<tr>
<td>Needs Assessment</td>
<td>15 points</td>
</tr>
<tr>
<td>Project Description, Goals and Objectives</td>
<td>20 points</td>
</tr>
<tr>
<td>Project Activities, Implementation Work Plan, Evaluation and Project Team</td>
<td>25 points</td>
</tr>
<tr>
<td>Budget</td>
<td>20 points</td>
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</tbody>
</table>

**Total**

100 points

The panel will recommend selections to the Commissioners of Health and Human Services. In addition to panel recommendations, the commissioners may also take into account other relevant factors in making final awards.
MDH reserves the right to waive minor irregularities or request additional information to further clarify or validate information submitted in a proposal, provided the proposal, as submitted, and substantially complies with the requirements of this RFP. There is, however, no guarantee that MDH will look for information or clarification outside of the submitted written proposal. Therefore, it is important that applicants ensure that all sections of their proposal have been completed to avoid the possibility of failing an evaluation phase or having their score reduced for lack of information.

**Award Process**

Applicants awarded a grant will be expected to:

1. Submit a final work plan and budget, if requested, to MDH.
2. Execute original and two copies of MDH grant agreement and return to MDH for final signature.
3. Upon receipt of fully executed grant agreement, begin work.

Grant Funding Restrictions: **No work on grant activities can begin until a fully-executed grant agreement is in place.** A sample grant agreement is attached to this RFP as Appendix B. Applicants should be aware of the terms and conditions of the standard grant agreements in preparing their proposals. Much of the language reflected in this agreement is required by statute. If an applicant takes exception to any of the terms, conditions or language in the sample grant agreement, the applicant must indicate those exceptions, in writing, in their proposal in response to this RFP. Certain exceptions may result in a proposal being disqualified from further review and evaluation. Only those exceptions indicated in a proposal will be available for discussion or negotiation. The funded applicant will be legally responsible for assuring implementation of the work plan, cooperation with all evaluation requirements, compliance with all state requirements, including worker’s compensation, nondiscrimination, data privacy, budget compliance, and reporting. Grant funds may be used to cover eligible costs of personnel, consultants, HIE subscription and installation costs, data analytic vendor costs, supplies, grant-related travel, and some other costs.

4. Complete required deliverables and activities as outlined in grant agreement.
5. Participate in site visits or conference calls to report on progress, barriers or lessons learned.
6. Submit expenditure reports and invoices for the grant period on a monthly or quarterly basis and within 30 days of the end of the grant period.
7. Submit quarterly written progress reports for the grant period on a monthly or quarterly basis. The final narrative for the grant is due within 30 days of the end of the grant period.
8. Additional details that may be requested to comply with federal reporting requirements.
9. Final 10 percent of the total grant award will be withheld until grant duties are completed.
12. Proposal Instructions

All duties must be performed in accordance with the Federal Department of Health and Human Services Grants Policy Statement (http://www.hhs.gov/asfr/ogapa/aboutog.hhsgps107.pdf)

Required Elements

Proposals for these grants must not exceed 10 pages of single-spaced 12-point type. The 10-page limit includes only items two through six below.

1. Application Cover Sheet (Form A)

2. Executive Summary (one page)

This section must include a brief overview of the project. In this section, responder should highlight the programs and activities of the applicant organization (or organizations if submitting a proposal together), and/or programmatic accomplishments that provide relevant context to the proposed project. These could include the current HIE or data analytic infrastructure or tools used; or a description of the planning or other background that has prepared your organization to implement the project, or previous projects, if any, upon which this project extends that demonstrate why your organization is ready to effectively complete the services outlined in the RFP. Include a brief history of the initiative, outreach or organizational area that will be most impacted by your HIE or data analytic project. The Applicant should also demonstrate the skill and experience of lead staff and designate a project manager with experience in planning and providing oversight of proposed activities.

3. Applicant Description

   a. Brief organizational history and descriptions of the applicant’s health and health care delivery infrastructure (e.g., hospitals, solo and group practices, primary care and specialty clinics, community health centers, health care homes and emergency medical services). Include current use of EHRs, HIT and health information exchange (paper or electronic) or data analytics within each organization and within the IHP or e-Health Community Collaborative and with others outside the IHP or collaborative.

   b. Minnesota Accountable Health Model: Continuum of Accountability Matrix Location (Form G and Form H)

      1) Description of each member organization’s and overall organization location on the Minnesota Accountable Health Model: Continuum of Accountability Matrix (Form G: Minnesota Accountable Health Model: Continuum of Accountability Matrix Assessment Tool).

         Applications must include a completed Continuum of Accountability Matrix Assessment Tool for each organization in the IHP or e-Health Community Collaborative. Click on the link below to download the Word file of the tool for completion as part of the application. Submit one paper copy of the completed assessment for each organization with the application and include an electronic version of the assessment with the proposal on a USB drive.

      2) Description of each organization’s and overall collaborative location on the Minnesota Accountable Health Model: Continuum of Accountability Matrix Tool (use Form H: Minnesota Accountable Health Model: Continuum of Accountability Matrix Tally Sheet)

         − List individual organizations on Form H and enter results for each organization following instructions in the tally form.
         − Enter the name of the collaborative and collective results in the final column.
Review Criteria: Executive Summary and Applicant Description (20 points)

- Does the applicant clearly and succinctly summarize the project?
- Does the applicant clearly describe the history, structure, services provided, and patients/clients served by the IHP or community collaborative organizations?
- Does the applicant’s description give a clear picture of the organization’s (or organizations’) current HIE and data analytic infrastructure?
- Does the applicant’s description give a clear indication of where organizations are located on the Minnesota Accountable Health Model: Continuum of Accountability Matrix?

4. Needs Assessment

This section should describe the health environment and needs that can be addressed through HIE and data analytics activities, cite sources for data if possible.

a. Geographic area and demographics of population(s) to be served. Include community needs assessments where appropriate (see Resources section for more information on community health needs assessments). Engage the local health department and other social or community service agencies to provide a comprehensive view. Please include the following:
   - Population - Describe the population of county(ies), neighborhoods or entire community to be served. Demographic data should be used and cited whenever possible to support the information provided. Include a geographic map of service area if possible.
   - Health Status - Describe the general health status of the population. This geographic data should be compared to regional and state data where possible. Include relevant factors such as age, poverty, disparities, substance abuse and other social problems.

b. Problem statement of unmet HIE and data analytic needs in the community to be served. Describe how unmet needs impact health outcomes.

c. Financial and other resource considerations of organizations (including any workforce issues) and the community, including the reason(s) why grant funds are needed. Include a statement of financial need of collaborative partner organizations and community, including how grant funds will support care coordination.

Review Criteria: Needs Assessment (15 points)

- Does the applicant provide a clear description of the geographic area they intend to serve including information from any community health needs assessments and provide a clear description of the current health status of their IHP or e-health community collaborative population and the health needs this project would address? If applicable, is there comparison to regional and state information? Is there information on health factors such as age, poverty, disparities, substance abuse and other social problems?
- Does the applicant provide a strong statement of the unmet HIE and data analytic needs and potential impact on health outcomes?
- Does the applicant clearly identify why they need grant funding for this project, does the applicant demonstrate that the financial viability of the project is dependent on funding from this grant?

5. Project Description, Goals and Objectives

a. Identify how the project will serve the population identified in 4a and why this IHP or e-Health Community Collaborative is suited to provide services to this population. If applicable, describe how this project meets the needs of the community in rural and/or underserved areas or populations.
b. Describe what the project will accomplish (objectives) with respect to community health needs and coordination of health and health care services, as well as specific goals related to number and type of HIE transactions that are anticipated among collaborative partners. If applicable, include details on how the project is part of any long term strategic plans.

c. Document planning activities have been completed including due diligence, workflow analysis, clinician and consumer involvement (if applicable), etc.

d. Describe how this project may improve health outcomes of the community, including the impact on health disparities as appropriate, and how these outcomes will be measured.

Review Criteria: Project Description, Goals and Objectives (20 points)

- Does the applicant clearly state the objectives of the project?
- Does the applicant describe how their IHP or e-health community collaborative population will be better served through the successful implementation of the project including coordination of health and health care services and how this project may improve community health outcomes?
- Does the applicant clearly identify their target population and why the IHP or e-health community collaborative is suited to provide services to that target population? If applicable, does the applicant clearly identify how this project meets the needs of the community in rural and/or underserved areas or populations?
- Does the applicant include documentation that development planning activities have been completed including due diligence, workflow analysis, clinician and consumer involvement (if applicable), etc.?

6. Implementation Work Plan, Evaluation and Project Team (Form B: Sample Work Plan)

(projects may not extend beyond September 30, 2017)

Describe the work plan to achieve all of the objectives proposed in the project description section. (Use Template Form B) As appropriate, identify meaningful support and collaborations with key partners and stakeholders, (including patients/consumers) in planning, designing and implementing activities. Form B includes the following categories:

- Objectives
- Activities and/or Tasks and Staff (or responsible entity, partners)
- Measurement and/or tracking methods
- Milestones or/and Deliverables
- Timeline and/or Completion Date

a. Describe plans for staff training for implementation and continuous evaluation; system operation and maintenance and technical support resources and if applicable, plans for sustainability beyond state funding.

b. Describe project team, roles and responsibilities in project including name(s), title(s), organization(s), and qualifications of the project lead or co-leads. If applicable, include additional information on the primary project team members and their roles.

c. The evaluation plan should include activities and methods to complete and measure grant objectives and milestones or deliverables. (e.g., tracking number of HIE partners, number/type of transactions). Explain any assumptions made in developing the project work plan and discuss the anticipated measures and desired deliverables of grant-funded activities.
The State is committed to funding services that produce a measurable result for the people of Minnesota. A successful Applicant must develop indicators of the success and effectiveness of the project and be able to measure and evaluate them to determine outcomes. Existing or new sources of data can be used as part of the evaluation. This section should describe the methods and criteria that will be used to measure whether the project objectives have been achieved. Evaluation data must be accessible, and updates on progress must be submitted to the state on a quarterly basis.

Review Criteria: Work Plan, Evaluation and Project Team (25 points)

- Does the applicant include a detailed plan to accomplish the projects stated objectives, milestones and deliverables?
- Does the applicant provide clear measures and milestones or deliverables for each proposed objective and will these specific milestones and deliverables help validate the program’s effectiveness?
- Does the applicant’s plan include a realistic timeframe (with specific dates) for meeting project milestones in an effective and efficient manner?
- To what extent does the proposed evaluation plan effectively measure the project’s progress toward meeting their objectives?
- Are the project team members, project roles and qualifications clearly identified and described? Does the applicant’s proposed project team have the sufficient skill and experience to successfully implement the project (including staff training, maintenance and technical support) to accomplish its stated goals?

7. Budget: Minnesota Accountable Health Model Contractor Template (Form C)

Only costs in the approved budget will be reimbursed, and only upon acceptance of any deliverables by the State. Eligible applicants may apply for funds for an HIE, data analytics or combined HIE and data analytics project. Eligible applicants may only submit one proposal for any or all projects for the maximum allowed $200,000 grant amount. Include a budget for the project for the time period of January 1, 2017 – September 30, 2017.

Applicants must use the Minnesota Accountable Health Model Contractor Budget Template. (See Form C below and the example tab in the Budget Template online). The budget must be written for eligible expenses in Section One: Line Item Budget and Section Two: Deliverables.

- Direct costs (see categories below)
- Indirect costs. There are no indirect costs allowed in this proposal.

All duties must be performed in accordance with the Federal Department of Health and Human Services Grants Policy Statement (http://www.gsa.gov/portal/category/100000) and the Minnesota Management and Budget’s Commissioner’s Plan http://beta.mmb.state.mn.us/doc/comp/contract/CommissionersPlan.pdf

Eligible Expenses
Grant funds may be used to cover costs of personnel, consultants, subcontracts, supplies, grant related travel, and other expenses (see detail below).

Ineligible Expenses
Funds may not be used to pay for proprietary interfaces (interfaces that do not go through State-Certified HIE Service Providers), EHR hardware or software, broadband infrastructure or
service costs, telehealth equipment or services, direct patient care services fees, stipends, gift cards, child care, food and beverages, equipment, building alterations or renovations, construction, or fund raising activities. In addition, funds may not be used for indirect costs.

**Lobbying**

In addition, Grantees may not use funds for lobbying, which is defined as advocating for a specific public policy after it has been formally introduced to a legislative body. Educating people about the importance of policies as a public health strategy is allowed with grant funds. Education includes providing facts, assessment data, reports, program descriptions, and information about budget issues and population impacts, but does not make recommendations on specific pieces of legislation. Education may be provided to public policymakers, other decision makers, specific stakeholders, and the general community. Lobbying restrictions do not apply to informal or private (nonpublic) policies.

Minnesota Accountable Health Model Contractor Budget Template: (Form C)

**Section One:** The budget form includes two sections and both must be completed for the grant period year. Section One provides a summary of the eligible expenses by line item. Section Two provides a summary of expenses for the deliverables. Provide information on how each line item in the budget was calculated.

A. **Salaries and Wages:**
   For all positions proposed to be funded from this grant provide the position title, the hourly rate, and the number of worked hours allocated to this project (not supplanting, not full-time care coordinators).
   - In the budget narrative, provide a brief position description for each position listed.

B. **Fringe:**
   List the rate of fringe benefits calculated for the total salaries and wages for positions in A.

C. **Consultant Costs.**
   Provide the name of contractors or organizations, the services to be provided, hourly rate, and projected costs. If a contractor has not been selected, include a description of the anticipated contractor by type of service
   - In the budget narrative, include brief background information about contractors, including how their previous experience relates to the project.
   - Include a description of the availability of contractors for the services and/or products required and the method for choosing a contractor in the budget narrative.

D. **Equipment:**
   Equipment, including medical equipment, is not allowed in this grant.

E. **Supplies:**
   Expected costs for general operating expenses, such as office supplies, postage, copying, printing and software. For software the type of software must be specified in the budget including the cost per person, the number of people using the software and total costs.

F. **Travel:**
   Include the cost for any proposed in-state travel as it relates to the completion of the project. Provide the estimated number of miles planned for project activities and the rate of
reimbursement per mile to be paid from project funds (not to exceed the current rate established by the Minnesota Management and Budget's Commissioner’s Plan 15

- Include expected travel costs for hotels and meals.
- Out of state travel is not an eligible expense.

G. Other:
Include HIE and data analytics vendor software costs here. Describe costs related to implementation and subscription (up to one year) for State-Certified HIE Service Provider. Include quotes where possible. If it is necessary to include additional expenditures in the “Other” category, include a detailed description of the proposed expenditures as they relate to the project. Add additional “Other” lines to the budget form as needed.

Support Expenses: Telephone equipment and services, internet connection costs, teleconferences, videoconferences, meeting space rental, and equipment rental.

H. Ineligible Activities and Expenses: (proprietary interfaces (interfaces that do not go through State-Certified HIE Service Providers for HIE, EHR hardware or software, broadband infrastructure or service costs, telehealth equipment or services, capital improvements, including but not limited to roads and buildings.

Section Two: Budget Deliverables: The amount paid for the deliverables in section two, is based upon the total dollars requested in section one. See Form C budget. Budget deliverables should cross reference your work plan and include key work plan deliverables. The budget deliverable total for must equal the line-item total.

8. Budget Justification Narrative Template (Form D)
The Budget Narrative provides additional information to justify costs in Form D Budget. Instructions: Provide a narrative justification where requested. The narrative justification must include a description of the funds requested and how they will support the proposal.

Review Criteria: Budget (20 points)
- Are the Budget Form and the Budget Justification Narrative complete?
- Do the amounts on the Budget Form match what is in the Budget Justification Narrative?
- Is the Budget Justification information consistent with what is in the proposed Work Plan?
- Are the projected costs reasonable, cost-effective, and sufficient to accomplish the proposed activities?

9. Due Diligence Form (Form E)
This form must be completed by the applicant organization’s administrative staff, for example, finance manager, accountant or executive director. It is a standard form MDH uses to determine the accounting system and financial capability of all grant applicants that will be receiving at least $50,000.

13. RESOURCES

The following resources are key references to understand the Minnesota landscape and provide guidance for this grant request for proposal requirements.

1. Minnesota e-Health Initiative (http://www.health.state.mn.us/e-health/abouthome.html)
2. Minnesota e-Health Advisory Committee (http://www.health.state.mn.us/e-health/advcommittee/index.html) and Minnesota e-Health Workgroups (http://www.health.state.mn.us/e-health/wgshome.html)
3. Minnesota e-Health Assessment Reports, Factsheets and Briefs (http://www.health.state.mn.us/e-health/assessment.html)
7. ONC Beacon Program findings, including those from the Southeast Minnesota Beacon Program:
   • Southeast Minnesota Beacon Program (http://semnbeacon.wordpress.com)
   • Driving Clinical Transformation in a Practice Setting with Health Information Technology- A Learning Guide (http://www.healthit.gov/sites/default/files/onc-beacon-lg5-enabling-community-level-hie.pdf)
11. MDH’s Health Care Administrative Simplification resources (http://www.health.state.mn.us/asa/index.html).
12. Health Information Technology for Economic and Clinical Health (HITECH) Act (http://www.healthit.gov/policy-researchers-implementers/hitech-act-0)
13. Administrative Data Standards and Related Requirements (http://www.ecfr.gov/cgi-bin/text-idx?SID=2e7dc674e5f28683aab627ae1e1e7b31&c=ecfr&tpl=/ecfrbrowse/Title45/45cfrv1_02.tpl) HIPAA administrative simplification and privacy and security rules- see Subchapter C


17. Office of National Coordinator for Health IT (ONC), Standards and Interoperability (S&I) Framework (http://wiki.siframework.org/CET+-+Use+Case+and+Functional+Requirements+Development)


**Form A: Application Cover Sheet**

1. Legal name and address of the applicant agency with which grant agreement would be executed:

2. Minnesota Tax I.D. Number

3. Federal Tax I.D. Number

4. Requested funding for the total grant period $

5. Director of applicant agency
   - Name, Title and Address
   - Email Address:
   - Telephone Number:
   - FAX Number:

6. Fiscal management officer of applicant agency
   - Name, Title and Address
   - Email Address:
   - Telephone Number:
   - FAX Number:

7. Operating agency (if different from number 1 above)
   - Name, Title and Address
   - Email Address:
   - Telephone Number:
   - FAX Number:

8. Contact person for applicant agency (if different from number 4 above)
   - Name, Title and Address
   - Email Address:
   - Telephone Number:
   - FAX Number:

9. Contact person for further information on grant application
   - Name, Title Address
   - Email Address:
   - Telephone Number:
   - FAX Number:

10. Certification

    I certify that the information contained herein is true and accurate to the best of my knowledge and that I submit this application on behalf of the applicant agency.

    Signature of Authorized Agent for Grant Agreement    Title

    Date
Form A: Application Cover Sheet Instructions

Please type or print all items on the Application Face Sheet.

1. Applicant agency
   Legal name of the agency authorized to enter into a grant contract with the Minnesota Department of Health.

2. Applicant agency's Minnesota Tax I.D. number

3. Applicant agency's Federal Tax I.D. number

4. Requested funding for the total grant period
   Amount the applicant agency is requesting in grant funding for the grant period. The estimated grant period will be from January 1, 2017 – September 30, 2017.

5. Director of the applicant agency
   Person responsible for direction at the applicant agency.

6. Fiscal Management Officer of applicant agency
   The chief fiscal officer for the applicant agency who would have primary responsibility for the grant agreement, grant funds expenditures, and reporting.

7. Operating Agency
   Complete only if other than the applicant agency listed in 1 above.

8. Contact Person for applicant agency
   The person who may be contacted concerning questions about implementation of this proposed program. Complete only if different from the individual listed in 5 above.

9. Contact person for further information
   Person who may be contacted for detailed information concerning the application or the proposed program.

10. Signature of Authorized Agent of Applicant Agency
    Provide an original signature of the director of the applicant agency, their title, and the date of signature.
Form B: Sample Project Work Plan

Applicant:

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Activities and/or Tasks and Staff (or responsible entity, partners)</th>
<th>Measurement and/or Tracking Methods</th>
<th>Milestones or/and Deliverables</th>
<th>Timeline and/or Completion Date</th>
</tr>
</thead>
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</tbody>
</table>
Form C: Minnesota Accountable Health Model Budget Template

Applicant:


Budget Form Instructions for Applicants:

1. Complete a budget for the grant period.
2. Include costs for the grant recipient (fiscal agent) and partners in Salaries & Wages, Fringe, Supplies, Travel, and Other categories.
3. Include contractor costs (contracts with vendors that will be providing a specific service such as IT, group facilitation, or consultation) in C. Consultant Costs.
4. Enter information in cells highlighted in blue as applicable for your project.

The amount paid for deliverables in Section Two is based on costs in Section One (section totals must be equal).

**Section One**

<table>
<thead>
<tr>
<th>Title</th>
<th>Hourly Rate</th>
<th>Hours</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>$</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>$</td>
</tr>
<tr>
<td>Total Salaries and Wages:</td>
<td></td>
<td>0</td>
<td>$</td>
</tr>
</tbody>
</table>

**Section One** (continued)

<table>
<thead>
<tr>
<th>Hourly Rate</th>
<th>Hours</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>$</td>
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</tbody>
</table>

B. FRINGE: Provide information on the rate of fringe benefits calculated for the total salaries and wages for positions in 1A.

Enter the fringe benefit rate as a % of the total salaries and wages in decimal format.

Total Fringe: $ 

C. CONSULTANT COSTS: Provide the following information for consultants/contractors: name of contractor or organization, hourly rate, number of hours, services to be provided.

In Form D provide a brief background about the contractor including how previous experience relates to the project. If the contractor has not been selected, include a description of the availability of contractors for the services or product, a description of the availability of contractors for the services or product, and the method that will be used for choosing a contractor.

| Name: | |  |
|-------| | $
| Hourly rate and number of hours | | $ 
| Organization: | | $
| Services: | | $
| Total Consultant Costs: | | $ 

### D. EQUIPMENT:

Equipment costs are not allowed.

<table>
<thead>
<tr>
<th>Item</th>
<th>Unit</th>
<th>Cost/Unit</th>
<th>Total Cost</th>
</tr>
</thead>
</table>

Total Equipment Costs: $ 

### E. SUPPLIES:

List each item requested, the number needed, and cost per unit. Include expected costs for general operating expenses such as office supplies, postage, photocopying, and printing.

<table>
<thead>
<tr>
<th>Item</th>
<th>Unit</th>
<th>Cost/Unit</th>
<th>Total Cost</th>
</tr>
</thead>
</table>

Total Supply Costs: $ 

### F. TRAVEL:

Provide estimated travel costs below for in-state travel. Include travel costs for hotels, meals, and attending meetings. Include the estimated number of miles planned for project activities and the rate of reimbursement per mile.

Out of state travel is not an eligible expense. Travel costs are not to exceed rates established in the Commissioner's Plan at [http://www.mmd.admin.state.mn.us/commissionersplan.htm](http://www.mmd.admin.state.mn.us/commissionersplan.htm)

<table>
<thead>
<tr>
<th>Item</th>
<th>Total Cost</th>
</tr>
</thead>
</table>

Total Travel Costs: $ 

### G. OTHER:

If applicable, list items not included in previous budget categories below. Include a detailed description of the proposed expenditures in Form D Budget Justification Narrative.

<table>
<thead>
<tr>
<th>Item</th>
<th>Total</th>
</tr>
</thead>
</table>

Total Other Costs: $ 

---

**GRAND PROJECT TOTAL**

$
Form D: Budget Justification Narrative

The Budget Narrative provides additional information to justify costs in Form C Budget.

Instructions: Provide a narrative justification where requested. The narrative justification must include a description of the funds requested and how their use will support the proposal.

<table>
<thead>
<tr>
<th>A. Salaries and Wages</th>
<th>Include all personnel at the fiscal lead and partnering organizations whose work is tied to the proposal.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Narrative Justification</strong></td>
<td>(enter a brief description of the roles, responsibilities, and unique qualifications of each position):</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>B. Fringe</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Narrative Justification</strong></td>
<td>(provide information on the rate of fringe benefits calculated for salaries and wages):</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>C. Consultant Costs</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Narrative Justification</strong></td>
<td>(provide a brief background about the contractor including how previous experience relates to the project. If the contractor has not been selected, include a description of the availability of contractors for the services or product and the method that will be used for choosing a contractor):</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>E. Supplies</th>
<th>Describe costs related to each type of supply, either in Budget Form C or below.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Narrative Justification</strong></td>
<td>(enter a description of the supplies requested and how their purchase will support the purpose and goals of this proposal):</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>F. Travel</th>
<th>Travel may include costs associated with travel for meetings, community engagement, and other items included in the work plan.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Narrative Justification</strong></td>
<td>(describe the purpose and need of travel and how costs were determined for each line item in the budget):</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>G. Other</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Narrative Justification</strong></td>
<td>(explain the need for each item and how their use will support the purpose and goals of this proposal. Break down costs into cost/unit: i.e. cost/meeting and explain the use of each item requested):</td>
</tr>
</tbody>
</table>
Due Diligence Review Form

Purpose

The Minnesota Department of Health (MDH) must conduct due diligence reviews for non-governmental organizations (NGOs) applying for grants, according to MDH Policy 240.

Definition

Due diligence refers to the process through which MDH researches an organization’s financial and organizational health and capacity (MDH Policy 240). The due diligence process is not an audit or a guarantee of an organization’s financial health or capacity. It is a review of information provided by a NGO and other sources to make an informed funding decision.

Instructions

As an applicant for MDH funds you must answer the following questions about your organization, and return the form (along with any required additional documentation) to the grant manager.

Organization Information Questionnaire

<table>
<thead>
<tr>
<th>Question</th>
<th>Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. How long has your organization been doing business?</td>
<td></td>
</tr>
<tr>
<td>2. How many employees does your organization have (both part time and full time)?</td>
<td></td>
</tr>
<tr>
<td>3. What was your organization's total revenue in the most recent 12-month accounting period?</td>
<td></td>
</tr>
<tr>
<td>4. How many different funding sources does the total revenue come from?</td>
<td></td>
</tr>
<tr>
<td>5. Does your organization have a current 501(c)3 status from the IRS? Circle Yes or No.</td>
<td>Yes No</td>
</tr>
<tr>
<td>6. Has your organization done business under any other name(s) within the last five years? Circle Yes or No.</td>
<td>Yes No</td>
</tr>
</tbody>
</table>

If yes, list name(s) used.
<table>
<thead>
<tr>
<th>Question</th>
<th>Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>7. Is your organization affiliated with or managed by any other</td>
<td>Yes</td>
</tr>
<tr>
<td>organizations, such as a regional or national office? Circle Yes or No.</td>
<td>No</td>
</tr>
<tr>
<td>If yes, provide details.</td>
<td></td>
</tr>
<tr>
<td>8. Does your organization receive management or financial assistance</td>
<td>Yes</td>
</tr>
<tr>
<td>from any other organizations? Circle Yes or No.</td>
<td>No</td>
</tr>
<tr>
<td>If yes, provide details.</td>
<td></td>
</tr>
<tr>
<td>9. Have you been a grantee of the Minnesota Department of Health</td>
<td>Yes</td>
</tr>
<tr>
<td>within the last five years? Circle Yes or No.</td>
<td>No</td>
</tr>
<tr>
<td>If yes, from which division(s)?</td>
<td></td>
</tr>
<tr>
<td>10. Does your organization have written policies and procedures for</td>
<td>Yes</td>
</tr>
<tr>
<td>accounting processes? Circle Yes or No.</td>
<td>No</td>
</tr>
<tr>
<td>If yes, please attach a copy of the table of contents.</td>
<td></td>
</tr>
<tr>
<td>11. Does your organization have written policies and procedures for</td>
<td>Yes</td>
</tr>
<tr>
<td>purchasing processes? Circle Yes or No.</td>
<td>No</td>
</tr>
<tr>
<td>If yes, please attach a copy of the table of contents.</td>
<td></td>
</tr>
<tr>
<td>12. Does your organization have written policies and procedures for</td>
<td>Yes</td>
</tr>
<tr>
<td>payroll processes? Circle Yes or No.</td>
<td>No</td>
</tr>
<tr>
<td>If yes, please attach a copy of the table of contents.</td>
<td></td>
</tr>
<tr>
<td>13. Which of the following best describes your organization's</td>
<td>Manual</td>
</tr>
<tr>
<td>accounting system? Circle one response.</td>
<td>Automated</td>
</tr>
<tr>
<td>14. Does the accounting system identify the deposits and</td>
<td>Yes</td>
</tr>
<tr>
<td>expenditures of program funds for each and every grant</td>
<td>No</td>
</tr>
<tr>
<td>separately? Circle one response.</td>
<td>Not sure</td>
</tr>
<tr>
<td>15. If your organization has multiple programs within a grant, does the</td>
<td>Yes or</td>
</tr>
<tr>
<td>accounting system record the expenditures for each and every program</td>
<td>Not</td>
</tr>
<tr>
<td>separately by budget line items? Circle one response.</td>
<td>applicable</td>
</tr>
<tr>
<td>Question</td>
<td>Response</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>----------</td>
</tr>
<tr>
<td>16. Are time studies conducted for employees who receive funding from multiple sources? Circle one response.</td>
<td>Yes</td>
</tr>
<tr>
<td>17. Does the accounting system have a way to identify overspending of grant funds? Circle one response.</td>
<td>Yes</td>
</tr>
<tr>
<td>18. If grant funds are mixed with other funds, can the grant expenses be easily identified? Circle one response.</td>
<td>Yes</td>
</tr>
<tr>
<td>19. Are the officials of the organization bonded? Circle one response.</td>
<td>Yes</td>
</tr>
<tr>
<td>20. Did an independent certified public accountant (CPA) ever examine the organization's financial statements? Circle one response.</td>
<td>Yes</td>
</tr>
<tr>
<td>21. Has any debt been incurred in the last six months? Circle Yes or No.</td>
<td>Yes</td>
</tr>
<tr>
<td>If yes:</td>
<td></td>
</tr>
<tr>
<td>• What was the reason for the new debt?</td>
<td></td>
</tr>
<tr>
<td>• What is the funding source for paying back the new debt?</td>
<td></td>
</tr>
<tr>
<td>22. What is the current amount of unrestricted funds compared to total revenues?</td>
<td></td>
</tr>
<tr>
<td>23. Are there any current or pending lawsuits against the organization? Circle Yes or No.</td>
<td>Yes</td>
</tr>
<tr>
<td>24. If yes, could there be an impact on the organization's financial position? Circle one response.</td>
<td>Yes</td>
</tr>
<tr>
<td>25. Has the organization lost any funding due to accountability issues, misuse, or fraud? Circle Yes or No.</td>
<td>Yes</td>
</tr>
<tr>
<td>If yes, please describe the situation, including when it occurred and whether issues have been corrected.</td>
<td></td>
</tr>
</tbody>
</table>

Additional Documentation Required

The following documentation is required in addition to the due diligence form.

1) If you’re an NGO with annual income of under $50,000 OR have not been in existence long enough to have a completed IRS Form 990 or audit please submit board-reviewed financial statements (e.g., statement of activities, statement of financial position)
2) If you’re an NGO with annual income of between $50,000 and $75,000 please submit IRS Form 990
3) If you’re an NGO with annual income over $75,000 please submit a certified financial audit.
Form F: Template: Required Non-binding Letter of Intent to Respond

Place on Letterhead:
Deadline October 6, 2016, at 4:00 pm Central Time

(date)

This is written notification of the intent to submit an application to the Minnesota Department of Health for funding under the Minnesota Accountable Health Model HIE and Data Analytics Grant Program. We understand that the application deadline for our proposal is October 6, 2016, at 4:00 pm Central Time. Information on our community collaborative is provided below.

Applicant organization name:

Contact person:

Contact person email:

Signature:

Please submit the letter as an email attachment to mn.ehealth@state.mn.us
Or provide the letter via mail or courier to:

Minnesota Department of Health
Office of Health Information Technology
Attention: HIE and Data Analytics Grant Program

Courier Address:
85 East 7th Place, Suite 220
Saint Paul, Minnesota 55101

Mailing Address (must arrive by the deadline to be accepted):
P.O. Box 64882
Saint Paul, Minnesota 55164-0882
Form G: Minnesota Accountable Health Model: Continuum of Accountability Matrix Assessment Tool

Applications must include a completed Continuum of Accountability Matrix Assessment Tool. Click on the link below to download the Word file of the tool for completion as part of the application. Submit one paper copy of the completed assessment with the application and include an electronic version of the assessment with the proposal on a USB drive.

Form H: Minnesota Accountable Health Model: Continuum of Accountability Matrix Tally Sheet

Minnesota Accountable Health Model: Continuum of Accountability Matrix Tally Sheet
Individual organizations / providers must complete the Continuum of Accountability Matrix Assessment Tool for their organization. In addition, community collaborative partners must come together collectively and complete the Matrix Assessment Tool to reflect one single score for the partnership. Use this form to document assessment results and submit it with your proposal.

Instructions for completing Form H (see Example tab for illustration):
1. Enter the name of each organization and the name of the community collaborative in the spaces below. The form allows for up to 3 organizations but that number is not required.
2. Place an x in the box that represents the score for each individual agency and the collaborative overall.

<table>
<thead>
<tr>
<th>Enter Organizations and Community Collaborative name:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organization 1:</td>
</tr>
<tr>
<td>Organization 2:</td>
</tr>
<tr>
<td>Organization 3:</td>
</tr>
<tr>
<td>Collaborative Name</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Model Spread and Multi-Payer Participation Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 1. What type of payment arrangements do you participate in?</td>
</tr>
<tr>
<td>Description</td>
</tr>
<tr>
<td>Level Pre-Level</td>
</tr>
<tr>
<td>We only receive payment for delivered services in the form of fee-for-service or capitation payments without any incentives.</td>
</tr>
<tr>
<td>Level A</td>
</tr>
<tr>
<td>We have alternative types of payment arrangements with at least one payer that represents less than 20% of our total consumer base, OR participation in at least one performance-based or value-based incentive system representing less than 5% of our total revenue.</td>
</tr>
<tr>
<td>Level B</td>
</tr>
<tr>
<td>We have alternative types of payment arrangements with at least one payer that represents 20% to 50% of our total consumer base, OR participation in at least one performance-based or value-based incentive system representing 5% to 15% of our total revenue.</td>
</tr>
<tr>
<td>Level D</td>
</tr>
<tr>
<td>We have alternative types of payment arrangements with at least one payer that represents greater than 75% of our total consumer base, OR participation in a performance-based or value-based incentive system representing greater than 30% of our total revenue.</td>
</tr>
</tbody>
</table>
Appendix A: Glossary

**Accountable Care**
The terms “accountable care” or “Accountable Care Organization,” or “ACO” are being used to reflect the concept of a group of diverse health care providers that have collective responsibility for patient care and that coordinate services. This term is meant to include the broad range of health and health care providers that are not formally part of an existing ACO as defined by the Centers for Medicare and Medicaid Services (CMS) or other payers, but that are also moving towards greater accountability for the quality and cost of care they provide to their patients. Source: Minnesota State Innovation Model Grant Request for Information on Health Information Technology and Data Analytics in Accountable Care Models, accessed 09.27.13

**Accountable Care Organizations (ACOs)**
Accountable Care Organizations (ACOs) are groups of doctors, hospitals, and other health care providers, who come together voluntarily to give coordinated high quality care to their Medicare patients. The goal of coordinated care is to ensure that patients, especially the chronically ill, get the right care at the right time, while avoiding unnecessary duplication of services and preventing medical errors. When an ACO succeeds both in delivering high-quality care and spending health care dollars more wisely, it will **share in the savings** it achieves for the Medicare program.

Medicare offers several ACO programs:
- *Medicare Shared Savings Program*—a program that helps a Medicare fee-for-service program providers become an ACO. Apply Now.
- *Advance Payment ACO Model*—a supplementary incentive program for selected participants in the Shared Savings Program.
- *Pioneer ACO Model*—a program designed for early adopters of coordinated care. No longer accepting applications.

Source: Centers for Medicare and Medicaid Services (https://www.cms.gov/Medicare/Medicare-Fee-for-Service-Payment/ACO/index.html?redirect=/aco/ accessed 03.30.2015

**Accountable Care Organization (ACO)**
An Accountable Care Organization is a group of health care providers with collective responsibility for patient care that helps providers coordinate services—delivering high-quality care while holding down costs.


**Admit/Discharge/Transfer (ADT) messages**
Admission, Discharge and Transfer (ADT) messages are used to communicate episode details. ADT messages carry patient demographic information for HL7 communications, but also provide important information about trigger events (such as patient admit, discharge, transfer, registration, etc.). ADT messages are extremely common in HL7 processing and are among the most widely used of all message types.


Behavioral Health
The term “behavioral health” is a general term that encompasses the promotion of emotional health; the prevention of mental illnesses and substance use disorders; and treatments and services for substance abuse, addiction, substance use disorders, mental illness, and/or mental disorders. Behavioral health includes the identification, treatment of, and recovery from mental health and substance use disorders. It also increasingly refers to lifestyle changes and actions which improve physical and emotional health, as well as the reduction or elimination of behaviors which create health risks. Source: Minnesota State Innovation Model Grant Request for Information on Health Information Technology and Data Analytics in Accountable Care Models, accessed 09.27.13

Behavioral Health Homes
Section 2703 of the Affordable Care Act defines health homes services as comprehensive and timely high-quality services provided by a designated provider or a team of providers and specifically include: care management; care coordination; health promotion; transitional care; patient and family support; referral to community and social support services; and improved exchange of health information.

DHS is developing a framework for “health homes” to serve the needs of complex populations covered by Medicaid. DHS, with input from stakeholders, is working to design a behavioral health services for adults and children with serious mental illness. DHS is starting with the population with serious mental illness because of the known barriers of health care access, high co-occurrence of chronic health conditions, and early mortality. DHS may build on this framework to serve other complex populations in the future.

Providers that wish to become a behavioral health home must meet federal and Minnesota state requirements and certification standards, currently under development. DHS Behavioral Health Home webpage (http://www.dhs.state.mn.us/main/idcplg?IdcService=GET_DYNAMIC_CONVERSION&RevisionSelectionMethod=LatestReleased&dDocName=dhs16_177945)

Business Associate Agreement (BAA)
A contract between a covered entity and its business associate or a business associate and its subcontractor that must contain the elements specified at 45 CFR 164.504(e). For example, the contract must: Describe the permitted and required uses of protected health information by the business associate; Provide that the business associate will not use or further disclose the protected health information other than as permitted or required by the contract or as required by law; and Require the business associate to use appropriate safeguards to prevent a use or disclosure of the protected health information other than as provided for by the contract (Excerpted from: Office of the National Coordinator for Connecting Health and Care for the Nation: A Shared Nationwide Interoperability Roadmap Draft Version 1.0 Appendix G: HIT Glossary (http://www.healthit.gov/policy-researchers-implementers/interoperability)

Care Coordination
Care coordination is a function that supports information-sharing across providers, patients, types and levels of service, sites and time frames. The goal of coordination is to ensure that patients’ needs and preferences are achieved and that care is efficient and of high quality. Care coordination is most needed by persons who have multiple needs that cannot be met by a single clinician or by a single clinical organization, and which are ongoing, with their mix and intensity subject to change over time. Source: U.S. Department of Health and Human Services, http://www.ncvhs.hhs.gov/091013p9.pdf

Care Coordinator
A care coordinator is a person who has primary responsibility to organize and coordinate care and services for clients/patients served in a variety of settings, e.g.l health care homes, behavioral health clinics, acute care settings and so on.
Care Manager
A care manager is a person who has primary responsibility to organize and coordinate care based on a set of evidence-based, integrated clinical care activities that are tailored to the individual patient, and that ensure each patient has his or her own coordinated plan of care and services

Care Plan
A care plan is the structure used to define the management actions for the various conditions, problems, or issues. A care plan must include at a minimum the following components: problem (the focus of the care plan), goal (the target outcome) and any instructions that the provider has given to the patient. A goal is a defined target or measure to be achieved in the process of patient care (an expected outcome).

Community-based Prevention/Community-based Interventions/Community-based Programs are terms used interchangeably to refer to programs or policies within a community that seek to improve the health of a population by addressing non-medical factors, or social determinants of health. Such programs often include the application of non-clinical preventive methods in non-traditional health care settings by non-clinical providers. Source: Financing Prevention: How states are balancing delivery system & public health roles (http://changelabsolutions.org/sites/default/files/Financing_Prevention-NASHP_FINAL_20140410.pdf)

Community Engagement
Community Engagement is the process of working collaboratively with and through groups of people affiliated by geographic proximity, special interest, or similar situations to address issues affecting the well-being of those people. It is a powerful vehicle for bringing about environmental and behavioral changes that will improve the health of the community and its members. It often involves partnerships and coalitions that help mobilize resources and influence systems, change relationships among partners, and serve as catalysts for changing policies, programs, and practices. Source: Fawcett et al., 1995 (http://www.atsdr.cdc.gov/communityengagement/pdf/PCE_Report_508_FINAL.pdf)

Continuum of care
The continuum of care is the full array of services, from prevention to treatment to rehabilitation and maintenance, required to support optimum health and well-being of a population. Source: Adapted from Alaska Health Care Commission (http://dhss.alaska.gov/ahcc/Documents/definitions.pdf)

Data Use and Reciprocal Support Agreement (DURSA)
The Data Use and Reciprocal Support Agreement (DURSA) is a comprehensive, multi-party trust agreement that was signed by all Nationwide Health Information Network participants, both public and private, wishing to participate in the NwHIN Exchange, now referred to as the eHealth Exchange. The DURSA provides the legal framework governing participation in the eHealth Exchange by requiring the signatories to abide by a common set of terms and conditions. http://www.healthit.gov/sites/default/files/draft_nhin_trial_implementations_production_dursa-3.pdf

Determinants of health
Health is determined through the interaction of individual behaviors and social, economic, genetic and environmental factors. Health is also determined by the systems, policies, and processes encountered in everyday life. Examples of determinants of health include job opportunities, wages, transportation options, the quality of housing and neighborhoods, the food supply, access to health care, the quality of public schools and opportunities for higher education, racism and discrimination, civic engagement, and the availability of networks
of social support. Source: MDH Health Equity Terminology webpage
(http://www.health.state.mn.us/divs/chs/healthequity/definitions.htm)

**Direct Protocol**

Direct uses established standards and protocols to enable secure health information exchange through a simple, scalable approach. Direct allows authorized users to send authenticated, encrypted health information directly to known recipients via the Internet. Direct offers a means of transmitting health information in support of core Stage 2 meaningful use measures including the communication of summary care records, referrals, discharge summaries and other clinical documents. [http://www.healthit.gov/policy-researchers-implementers/direct-project http://wiki.directproject.org/](Excerpted from: Office of the National Coordinator for Connecting Health and Care for the Nation: A Shared Nationwide Interoperability Roadmap Draft Version 1.0 Appendix G: HIT Glossary) (http://www.healthit.gov/policy-researchers-implementers/interoperability)

**Directed Exchange (push)**

Organizations need to send information to one another, often in an unsolicited manner (i.e., without the recipient specifically asking for the information). The Direct protocol was developed by the S&I Framework and utilizes email standards, but in a secure manner, with the primary protocol utilizing secure mail transport (SMTP). Direct supports a secure e-mail transaction that is appropriate for many different uses, including provider-to-provider, provider-to-consumer, provider-to-payer and many other types of transactions. The Direct protocol is an all-purpose protocol; it does not care what type of information is transported. To be used effectively, however, a trust relationship must exist between participants to ensure that a message reaches the intended party and not someone else. Other technologies have also been in use for some time to support unsolicited transmission of information including, secure File Transfer Protocol (sFTP) and Simple Object Access protocol [SOAP] and Representational State Transfer (REST). [http://www.healthit.gov/policy-researchers-implementers/direct-project http://wiki.directproject.org/](Excerpted from: Office of the National Coordinator for Connecting Health and Care for the Nation: A Shared Nationwide Interoperability Roadmap Draft Version 1.0 Appendix G: HIT Glossary) (http://www.healthit.gov/policy-researchers-implementers/interoperability)

**DirectTrust**

DirectTrust is an independent, non-profit trade association created by and for participants in the Direct community. It has established a set of technical, legal and business standards, expressed as policy and best practice recommendations, which members of the trust community agree to follow, uphold and enforce. DirectTrust offers an accreditation program that assesses organizations’ adherence to these standards. [http://www.directtrust.org/](Excerpted from: Office of the National Coordinator for Connecting Health and Care for the Nation: A Shared Nationwide Interoperability Roadmap Draft Version 1.0 Appendix G: HIT Glossary) (http://www.healthit.gov/policy-researchers-implementers/interoperability)

**E-Health**

E-health is the adoption and effective use of electronic health record (EHR) systems and other health information technology (HIT) including health information exchange to improve health care quality, increase patient safety, reduce health care costs, and enable individuals and communities to make the best possible health decisions. Source: Minnesota Department of Health (http://www.health.state.mn.us/e-health/) accessed 2.19.14

**Electronic Health Record (EHR)**

EHR is a real-time patient health record with access to evidence-based decision support tools that can be used to aid clinicians in decision-making. The EHR can automate and streamline a clinician’s workflow, ensuring that all clinical information is communicated. It can also prevent delays in response that result in gaps in care. The
EHR can also support the collection of data for uses other than clinical care, such as billing, quality management, outcome reporting, and public health disease surveillance and reporting. EHR is considered more comprehensive than the concept of an Electronic Medical Record (EMR). Source: Office of the National Coordinator for HIT Health IT Glossary (http://www.hhs.gov/healthit/glossary.html) accessed 09.10.13

Emerging professionals-
Emerging professionals include Community Health Workers, Community Paramedics, Dental Therapists and Advanced Dental Therapists, with possible future inclusion of other practitioners such as Doulas and Certified Peer Support Specialists.

Health
Health is a state of complete physical, mental and social well-being and not merely the absence of disease or infirmity. Source: Preamble to the Constitution of the World Health Organization as adopted by the International Health Conference, New York, 19-22 June, 1946; signed on 22 July 1946 by the representatives of 61 States (Official Records of the World Health Organization, no. 2, p. 100) and entered into force on 7 April 1948.

Health Care Home
A "health care home," also called a "medical home," is an approach to primary care in which primary care providers, families and patients work in partnership to improve health outcomes and quality of life for individuals with chronic health conditions and disabilities. Source: Minnesota Department of Health Health Care Homes (aka Medical Homes) (www.health.state.mn.us/healthreform/homes/) accessed 09.10.13

Health Information Exchange (HIE)
Health information exchange or HIE means the electronic transmission of health related information between organizations according to nationally recognized standards. Source: Minnesota Statutes §62J.498 sub. 1(f) (https://www.revisor.mn.gov/statutes/?id=62J.498) accessed 09.10.13

Health Information Exchange (HIE)

Health Information Technology (HIT)
HIT is the application of information processing involving both computer hardware and software that deals with the storage, retrieval, sharing, and use of health care information, data, and knowledge for communication and decision making. Source: Office of the National Coordinator for HIT Glossary (http://www.healthit.gov/policy-researchers-implementers/glossary) accessed 09.10.13

Integrated care
Integrated care covers a complex and comprehensive field and there are many different approaches to and definitions of the concept. One overarching definition (Grone, O. and Garcia-Barbero, M. 2002) is integrated care is a concept bringing together inputs, delivery, management and organization of services related to diagnosis, treatment, care, rehabilitation and health promotion. Integration is a means to improve services in relation to access, quality, user satisfaction and efficiency.

Interoperability
The ability of two or more information systems or components to exchange information and to use the information that has been exchanged accurately, securely, and verifiably, when and where needed. Source: Office of the National Coordinator for HIT Glossary (http://www.healthit.gov/policy-researchers-implementers/glossary), accessed 09.10.13

**Interprofessional Team**

Interprofessional Team, as defined in the Institute of Medicine’s (IOM) Report, Health Professions Education: A Bridge to Quality, (2003), an interdisciplinary (Interprofessional) team is “composed of members from different professions and occupations with varied and specialized knowledge, skills, and methods.” (p. 54) Members of an Interprofessional team communicate and work together, as colleagues, to provide quality, individualized care for patients. Source: Institute of Medicine’s (IOM) Report, Health Professions Education: A Bridge to Quality or http://www.iom.edu/Reports/2003/health-professions-education-a-bridge-to-quality.aspx

**Local Public Health**

In Minnesota, local public health services are provided through Community Health Boards, which have statutory responsibilities for public health (MN Stat. Chapter 145A), and by Tribal Governments, which are sovereign nations. Local public health responsibilities include prevention and control of communicable disease; protection from environmental health hazards; promoting healthy communities and healthy behaviors (including maternal and child health); preparing for and responding to public health emergencies; and assessing, and sometimes addressing gaps in health services. Local public health professionals carry out these activities in collaboration with multiple systems including schools, law enforcement, social services, municipalities, non-profits and private health care providers to coordinate high quality, non-duplicative programs. Source: Adapted from Minnesota Department of Health, Local Public Health Act (http://www.health.state.mn.us/divs/opi/gov/lphact/) accessed 2.19.14

**Long-Term and Post-Acute Care (LTPAC)**

Long Term and Post-Acute Care is characterized by a variety of settings, from complex care in long-term acute-care hospitals to supportive services in the community or home-based care. Typical services include rehabilitation, medical management, skilled nursing services, and assistance with activities of daily living due physical and/or cognitive impairments. Common types of LTPAC providers include but are not limited to: nursing facilities or skilled nursing facilities; home health agencies; hospice providers; inpatient rehabilitation facilities (IRFs); long-term acute care hospitals; assisted living facilities; continuing care retirement communities; home and community-based services; and adult day service providers. Source: U.S. Department of Health and Human Services, Opportunities for Engaging Long-Term and Post-Acute Care Providers in Health Information Exchange Activities:Engaging Interoperable Patient Assessment Information (http://aspe.hhs.gov/daltcp/reports/2011/StratEng.pdf), accessed 01.12.14

**Long-Term Post-Acute Care (LTPAC)**

Long-Term and Post-Acute Care is characterized by a variety of settings, from complex care in long-term acute-care hospitals to supportive services in the community or home-based care. Typical services include rehabilitation, medical management, skilled nursing services, and assistance with activities of daily living due physical and/or cognitive impairments. Common types of LTPAC providers include but are not limited to: nursing facilities or skilled nursing facilities; home health agencies; hospice providers; inpatient rehabilitation facilities (IRFs); long-term acute care hospitals; assisted living facilities; continuing care retirement communities; home and community-based services; and adult day service providers.


LTPAC Settings (e.g., Skilled Nursing Facility (SNF), Home Health, Inpatient Rehab, Long Term Acute Care Hospital, Hospice). This category of providers serves some of the nation's most vulnerable individuals and uses a significant portion of the Medicare and Medicaid budgets. Patients served by these providers experience
frequent transitions in care and episodes of care coordination with eligible hospitals and professionals. Some of these providers may need interoperable EHR technology to support new care delivery and payment models in the Affordable Care Act and in private sector initiatives.


**Long-Term Services & Supports (LTSS)**

Assistance with activities of daily living and instrumental activities of daily living provided to older people and adults with disabilities that cannot perform these activities on their own due to a physical, cognitive, or chronic health conditions. LTSS may provide care, case management and service coordination to people who live in their own home, a residential setting, a nursing facility, or other institutional setting. LTSS also include supports provided to family members and other unpaid caregivers. LTSS may be provided in institutional and community settings. [http://www.acl.gov/Programs/CDAP/OIP/docs/2402-a-Guidance.pdf](http://www.acl.gov/Programs/CDAP/OIP/docs/2402-a-Guidance.pdf)


**Minnesota e-Health Initiative**

The Minnesota e-Health Initiative is a public-private collaborative whose Vision is to accelerate the adoption and use of health information technology in order to improve health care quality, increase patient safety, reduce health care costs and improve public health. Source: Minnesota Department of Health, Minnesota e-Health Initiative, [http://www.health.state.mn.us/e-health/abouthome.html](http://www.health.state.mn.us/e-health/abouthome.html) accessed 09.11.13

**Minnesota Interoperable HER Mandate**

The 2007 Minnesota Legislature mandated in Minnesota Statute §62J.495 (Electronic Health Record Technology), that “By January 1, 2015, all hospitals and health care providers must have in place an interoperable electronic health records system within their hospital system or clinical practice setting. The commissioner of health, in consultation with the Minnesota e-Health Advisory Committee, shall develop a statewide plan to meet this goal, including uniform standards to be used for the interoperable system for sharing and synchronizing patient data across systems.”


**Minnesota Model for EHR Adoption**

In 2008, the Minnesota e-Health Initiative developed the Minnesota Model for Adopting Interoperable EHRs that is applied to all aspects of the Initiative’s work and policy development. The model has seven steps which are grouped into three major categories:

- **Adopt**, which includes the sequential steps of Assess, Plan and Select.
- **Utilize**, which involves implementing an EHR product and learning how to use it effectively.
- **Exchange**, including readiness to exchange information electronically with other partners, and implementing regular, ongoing exchange between interoperable EHR systems.


**Patient and Family Centered Care**

Patient and family centered care means planning, delivering, and evaluating health care through patient-driven, shared decision-making that is based on participation, cooperation, trust, and respect of participant perspectives and choices. It also incorporates the participant’s knowledge, values, beliefs, and cultural background into care planning and delivery. Patient and family-centered care applies to patients of all ages.
Population Health

Provider
For purposes of SIM, the term “provider” is meant to include the broad notion of health care professionals within medicine, nursing, behavioral health, or allied health professions. Health care providers may also be a public/community health professional. Institutions include hospitals, clinics, primary care centers, long term care organizations, mental health centers, and other service delivery points. Source: Minnesota State Innovation Model Grant Request for Information on Health Information Technology and Data Analytics in Accountable Care Models, accessed 09.27.13

Public Health
Public health is the practice of preventing disease and promoting good health within groups of people, from small communities to entire countries. Public health also entails policy development and health surveillance. Public health professionals rely on policy and research strategies to understand issues such as infant mortality and chronic disease in particular populations. In Minnesota, Local public health departments partner with multiple systems including schools, law enforcement, social services, municipalities, non-profits and private health care providers to coordinate programs. Source: American Public Health Association, https://www.apha.org/what-is-public-health- Local Public Health Association of Minnesota, http://www.lpha-mn.org/FactSheets/MN_Local%20Public%20Health%20System_LPHAFacts.pdf

Social Determinants of Health
Complex, integrated, and overlapping social structures and economic systems that are responsible for most health inequities. These social structures and economic systems include the social environment, physical environment, health services, and structural and societal factors. Social determinants of health are shaped by the distribution of money, power, and resources throughout local communities, nations, and the world. Commission on Social Determinants of Health (CSDH), Closing the gap in a generation: health equity through action on the social determinants of health. Final report of the Commission on Social Determinants of Health. 2008, World Health Organization: Geneva.

Social Services
The system of programs, benefits and services made available by public, non-profit or private agencies that help people meet those social, economic, educational, and health needs that are fundamental to the well-being of individuals and families. Examples of social services, for the purposes of SIM, include but are not limited to organizations that provide housing, transportation, or nutritional services to individuals or families. Source: Minnesota State Innovation Model Grant Request for Information on Health Information Technology and Data Analytics in Accountable Care Models, accessed 09.27.13
Summary of Care Record
A summary of care record may include the following elements:

Patient name
Referring or transitioning provider's name and office contact information
Procedures
Encounter diagnosis
Immunizations
Laboratory test results
Vital signs (height, weight, blood pressure, BMI)
Smoking status
Functional status, including activities of daily living, cognitive and disability status
Demographic information (preferred language, sex, race, ethnicity, date of birth)
Care plan field, including goals and instructions
Care team including the primary care provider of record and any additional known care team members beyond the referring or transitioning provider and the receiving provider
Reason for referral
Current problem list (a list of current, active and historical diagnoses)
Current medication list (a list of medications that a given patient is currently taking), and
Current medication allergy list (a list of medications to which a given patient has known allergies)
Diagnosis lists
Advance directives
Contact information; guardianship information
Critical incident information relating to physical and/or mental/behavioral health.

Transitions of Care
The movement of a patient from one setting of care (hospital, ambulatory primary care practice, ambulatory specialty care practice, long-term care, home health, rehabilitation facility) to another.

Triple Aim
The Triple Aim is a framework developed by the Institute for Healthcare Improvement (IHI) that describes an approach to optimizing health system performance. It is IHI’s belief that new designs must be developed to simultaneously pursue three dimensions, which we call the “Triple Aim”: improving the patient experience of care (including quality and satisfaction); improving the health of populations; and reducing the per capita cost of health care. Source: Institute for Healthcare Improvement Triple Aim (www.ihi.org/offerings/Initiatives/TripleAim/Pages/default.aspx) accessed 09.10.2
Appendix B: Sample MDH Grant Agreement

If you circulate this grant agreement internally, only offices that require access to the tax identification number AND all individuals/offices signing this grant agreement should have access to this document.

Instructions for completing this form are in blue and are italicized and bracketed. Fill in every blank and delete all instructions, including these instructions, before sending this document to Financial Management for review. Include an encumbrance worksheet to enable Financial Management to encumber the funds for this agreement.

Minnesota Department of Health
Grant Agreement

This grant agreement is between the State of Minnesota, acting through its Commissioner of the Department of Health ("State") and Insert name of Grant ("Grantee"). Grantee's address is Insert complete address.

Recitals

1. Under Minnesota Statutes 144.0742 and Insert the program’s specific statutory authority to enter into the grant, the State is empowered to enter into this grant agreement.

2. The State is in need of Add 1-2 sentences describing the overall purpose of the grant.

3. The Grantee represents that it is duly qualified and will perform all the duties described in this agreement to the satisfaction of the State. Pursuant to Minnesota Statutes section 16B.98, subdivision 1, the Grantee agrees to minimize administrative costs as a condition of this grant.

Grant Agreement

1. Term of Agreement

1.1 Effective date Spell out the full date, e.g., January 1, 2012, or the date the State obtains all required signatures under Minnesota Statutes section 16C.05, subdivision 2, whichever is later. The Grantee must not begin work until this contract is fully executed and the State's Authorized Representative has notified the Grantee that work may commence.

1.2 Expiration date Spell out the full date, e.g., December 31, 2012, or until all obligations have been fulfilled to the satisfaction of the State, whichever occurs first.

2. **Grantee's Duties** The Grantee, who is not a state employee, shall: *Attach additional pages if needed, using the following language, "complete to the satisfaction of the State all of the duties set forth in Exhibit A, which is attached and incorporated into this agreement."*

3. **Time** The Grantee must comply with all the time requirements described in this grant agreement. In the performance of this grant agreement, time is of the essence, and failure to meet a deadline may be a basis for a determination by the State's Authorized Representative that the Grantee has not complied with the terms of the grant.

   The Grantee is required to perform all of the duties recited above within the grant period. The State is not obligated to extend the grant period.

4. **Consideration and Payment**

   4.1 **Consideration** The State will pay for all services performed by the Grantee under this grant agreement as follows:

   (a) **Compensation.** The Grantee will be paid *Explain how the Grantee will be paid*—examples: "an hourly rate of $0.00 up to a maximum of X hours, not to exceed $0.00 and travel costs not to exceed $0.00," *Or, if you are using a breakdown of costs as an attachment, use the following language, "according to the breakdown of costs contained in Exhibit B, which is attached and incorporated into this agreement."*

   (b) **Total Obligation** The total obligation of the State for all compensation and reimbursements to the Grantee under this agreement will not exceed *TOTAL AMOUNT OF GRANT AGREEMENT AWARD IN WORDS* dollars ($INSERT AMOUNT IN NUMERALS).

   (c) **Travel Expenses** *Select the first paragraph for grants with any of Minnesota’s 11 Tribal Nations. Select the second paragraph for all other grants. Delete the paragraph that isn’t used.*

   The Grantee will be reimbursed for travel and subsistence expenses in the same manner and in no greater amount than provided in the current "GSA Plan" promulgated by the United States General Services Administration. The current GSA Plan rates are available on the official U.S. General Services Administration website. The Grantee will not be reimbursed for travel and subsistence expenses incurred outside Minnesota unless it has received the State’s prior written approval for out of state travel. Minnesota will be considered the home state for determining whether travel is out of state.

   **OR**

   The Grantee will be reimbursed for travel and subsistence expenses in the same manner and in no greater amount than provided in the current "Commissioner’s Plan" promulgated by the Commissioner of Minnesota Management and Budget ("MMB"). The Grantee will not be reimbursed for travel and
subsistence expenses incurred outside Minnesota unless it has received the State’s prior written approval for out of state travel. Minnesota will be considered the home state for determining whether travel is out of state.

(d) **Budget Modifications.** Modifications greater than 10 percent of any budget line item in the most recently approved budget (listed in 4.1(a) and 4.1(b) or incorporated in Exhibit B) requires prior written approval from the State and must be indicated on submitted reports. Failure to obtain prior written approval for modifications greater than 10 percent of any budget line item may result in denial of modification request and/or loss of funds. Modifications equal to or less than 10 percent of any budget line item are permitted without prior approval from the State provided that such modification is indicated on submitted reports and that the total obligation of the State for all compensation and reimbursements to the Grantee shall not exceed the total obligation listed in 4.1(b).

### 4.2 Terms of Payment

(a) **Invoices** The State will promptly pay the Grantee after the Grantee presents an itemized invoice for the services actually performed and the State’s Authorized Representative accepts the invoiced services. Invoices must be submitted in a timely fashion and according to the following schedule: 

*Example: "Upon completion of the services," or if there are specific deliverables, list how much will be paid for each deliverable, and when. The State does not pay merely for the passage of time.*

(b) **Matching Requirements** If applicable, insert the conditions of the matching requirement. If not applicable, please delete this entire matching paragraph. Grantee certifies that the following matching requirement, for the grant will be met by Grantee:

(c) **Federal Funds** Include this section for all federally funded grants; delete it if this section does not apply. Payments under this agreement will be made from federal funds obtained by the State through Title *insert number*, CFDA number *insert number* of the *insert name of law* Act of *insert year*, including public law and all amendments. The Notice of Grant Award (NGA) number is *insert number*. The Grantee is responsible for compliance with all federal requirements imposed on these funds and accepts full financial responsibility for any requirements imposed by the Grantee's failure to comply with federal requirements. If at any time federal funds become unavailable, this agreement shall be terminated immediately upon written notice of by the State to the Grantee. In the event of such a termination, Grantee is entitled to payment, determined on a pro rata basis, for services satisfactorily performed.
5. **Conditions of Payment**  All services provided by Grantee pursuant to this agreement must be performed to the satisfaction of the State, as determined in the sole discretion of its Authorized Representative. Further, all services provided by the Grantee must be in accord with all applicable federal, state, and local laws, ordinances, rules and regulations. Requirements of receiving grant funds may include, but are not limited to: financial reconciliations of payments to Grantees, site visits of the Grantee, programmatic monitoring of work performed by the Grantee and program evaluation. The Grantee will not be paid for work that the State deems unsatisfactory, or performed in violation of federal, state or local law, ordinance, rule or regulation.

6. **Authorized Representatives**

   6.1 **State's Authorized Representative**  The State's Authorized Representative for purposes of administering this agreement is *insert name, title, address, telephone number, and e-mail, or select one: "his" or "her" successor*, and has the responsibility to monitor the Grantee's performance and the final authority to accept the services provided under this agreement. If the services are satisfactory, the State's Authorized Representative will certify acceptance on each invoice submitted for payment.

   6.2 **Grantee's Authorized Representative**  The Grantee's Authorized Representative is *insert name, title, address, telephone number, and e-mail, or select one: “his” or “her” successor*. The Grantee's Authorized Representative has full authority to represent the Grantee in fulfillment of the terms, conditions, and requirements of this agreement. If the Grantee selects a new Authorized Representative at any time during this agreement, the Grantee must immediately notify the State in writing, via e-mail or letter.

7. **Assignment, Amendments, Waiver, and Merger**

   7.1 **Assignment**  The Grantee shall neither assign nor transfer any rights or obligations under this agreement without the prior written consent of the State.

   7.2 **Amendments**  If there are any amendments to this agreement, they must be in writing. Amendments will not be effective until they have been executed and approved by the State and Grantee.

   7.3 **Waiver**  If the State fails to enforce any provision of this agreement, that failure does not waive the provision or the State's right to enforce it.
7.4 **Merger** This agreement contains all the negotiations and agreements between the State and the Grantee. No other understanding regarding this agreement, whether written or oral, may be used to bind either party.

8. **Liability** The Grantee must indemnify and hold harmless the State, its agents, and employees from all claims or causes of action, including attorneys' fees incurred by the State, arising from the performance of this agreement by the Grantee or the Grantee's agents or employees. This clause will not be construed to bar any legal remedies the Grantee may have for the State's failure to fulfill its obligations under this agreement. Nothing in this clause may be construed as a waiver by the Grantee of any immunities or limitations of liability to which Grantee may be entitled pursuant to Minnesota Statutes Chapter 466, or any other statute or law.

9. **State Audits** Under Minnesota Statutes section 16B.98, subdivision 8, the Grantee's books, records, documents, and accounting procedures and practices of the Grantee, or any other relevant party or transaction, are subject to examination by the State, the State Auditor, and the Legislative Auditor, as appropriate, for a minimum of six (6) years from the end of this grant agreement, receipt and approval of all final reports, or the required period of time to satisfy all state and program retention requirements, whichever is later.

10. **Government Data Practices and Data Disclosure**

10.1 **Government Data Practices** Pursuant to Minnesota Statutes Chapter 13.05, Subd. 11(a), the Grantee and the State must comply with the Minnesota Government Data Practices Act as it applies to all data provided by the State under this agreement, and as it applies to all data created, collected, received, stored, used, maintained, or disseminated by the Grantee under this agreement. The civil remedies of Minnesota Statutes section 13.08 apply to the release of the data referred to in this clause by either the Grantee or the State.

If the Grantee receives a request to release the data referred to in this clause, the Grantee must immediately notify the State. The State will give the Grantee instructions concerning the release of the data to the requesting party before any data is released. The Grantee's response to the request must comply with the applicable law.

10.2 **Data Disclosure** Pursuant to Minnesota Statutes section 270C.65, subdivision 3, and all other applicable laws, the Grantee consents to disclosure of its social security number, federal employee tax identification number, and Minnesota tax identification number, all of which have already been provided to the State, to federal and state tax agencies and state personnel involved in the payment of state obligations. These identification numbers may be used in the enforcement of federal and state tax laws which could result in action requiring the Grantee to file state tax returns and pay delinquent state tax liabilities, if any.
11. Ownership of Equipment  If this grant agreement disburses any federal funds, select option #1 and delete option #2. If this grant agreement disburses only state funds, select option #2 and delete option #1.

Option #1

Disposition of all equipment purchased under this grant shall be in accordance with 2 CFR 200. For all equipment having a current per unit fair market value of $5,000 or more, the State shall have the right to require transfer of the equipment, including title, to the Federal Government or to an eligible non-Federal party named by the STATE. This right will normally be exercised by the State only if the project or program for which the equipment was acquired is transferred from one grantee to another.

Option #2:

The State shall have the right to require transfer of all equipment purchased with grant funds (including title) to the State or to an eligible non-State party named by the State. This right will normally be exercised by the State only if the project or program for which the equipment was acquired is transferred from one grantee to another.

12. Ownership of Materials and Intellectual Property Rights

12.1 Ownership of Materials  The State shall own all rights, title and interest in all of the materials conceived or created by the Grantee, or its employees or subgrantees, either individually or jointly with others and which arise out of the performance of this grant agreement, including any inventions, reports, studies, designs, drawings, specifications, notes, documents, software and documentation, computer based training modules, electronically, magnetically or digitally recorded material, and other work in whatever form ("materials").

The Grantee hereby assigns to the State all rights, title and interest to the materials. The Grantee shall, upon request of the State, execute all papers and perform all other acts necessary to assist the State to obtain and register copyrights, patents or other forms of protection provided by law for the materials. The materials created under this grant agreement by the Grantee, its employees or subgrantees, individually or jointly with others, shall be considered "works made for hire" as defined by the United States Copyright Act. All of the materials, whether in paper, electronic, or other form, shall be remitted to the State by the Grantee. Its employees and any subgrantees shall not copy, reproduce, allow or cause to have the materials copied, reproduced or used for any purpose other than performance of the Grantee's obligations under this grant agreement without the prior written consent of the State's Authorized Representative.
12.2 **Intellectual Property Rights** Grantee represents and warrants that materials produced or used under this grant agreement do not and will not infringe upon any intellectual property rights of another including but not limited to patents, copyrights, trade secrets, trade names, and service marks and names. Grantee shall indemnify and defend the State, at Grantee’s expense, from any action or claim brought against the State to the extent that it is based on a claim that all or parts of the materials infringe upon the intellectual property rights of another. Grantee shall be responsible for payment of any and all such claims, demands, obligations, liabilities, costs, and damages including, but not limited to, reasonable attorney fees arising out of this grant agreement, amendments and supplements thereto, which are attributable to such claims or actions. If such a claim or action arises or in Grantee's or the State's opinion is likely to arise, Grantee shall at the State's discretion either procure for the State the right or license to continue using the materials at issue or replace or modify the allegedly infringing materials. This remedy shall be in addition to and shall not be exclusive of other remedies provided by law.

13. **Workers' Compensation** The Grantee certifies that it is in compliance with Minnesota Statutes section 176.181, subdivision 2, which pertains to workers' compensation insurance coverage. The Grantee's employees and agents, and any contractor hired by the Grantee to perform the work required by this Grant Agreement and its employees, will not be considered State employees. Any claims that may arise under the Minnesota Workers' Compensation Act on behalf of these employees, and any claims made by any third party as a consequence of any act or omission on the part of these employees, are in no way the State's obligation or responsibility.

14. **Publicity and Endorsement**

14.1 **Publicity** Any publicity given to the program, publications, or services provided resulting from this grant agreement, including, but not limited to, notices, informational pamphlets, press releases, research, reports, signs, and similar public notices prepared by or for the Grantee or its employees individually or jointly with others, or any subgrantees shall identify the State as the sponsoring agency and shall not be released without prior written approval by the State's Authorized Representative, unless such release is a specific part of an approved work plan included in this grant agreement.

14.2 **Endorsement** The Grantee must not claim that the State endorses its products or services.

15. **Termination**

15.1 **Termination by the State or Grantee** The State or Grantee may cancel this grant agreement at any time, with or without cause, upon thirty (30) days written notice to the other party.
**15.2 Termination for Cause** If the Grantee fails to comply with the provisions of this grant agreement, the State may terminate this grant agreement without prejudice to the right of the State to recover any money previously paid. The termination shall be effective five business days after the State mails, by certified mail, return receipt requested, written notice of termination to the Grantee at its last known address.

**15.3 Termination for Insufficient Funding** The State may immediately terminate this agreement if it does not obtain funding from the Minnesota legislature or other funding source; or if funding cannot be continued at a level sufficient to allow for the payment of the work scope covered in this agreement. Termination must be by written or facsimile notice to the Grantee. The State is not obligated to pay for any work performed after notice and effective date of the termination. However, the Grantee will be entitled to payment, determined on a pro rata basis, for services satisfactorily performed to the extent that funds are available. The State will not be assessed any penalty if this agreement is terminated because of the decision of the Minnesota legislature, or other funding source, not to appropriate funds. The State must provide the Grantee notice of the lack of funding within a reasonable time of the State receiving notice of the same.

**16. Governing Law, Jurisdiction, and Venue** This grant agreement, and amendments and supplements to it, shall be governed by the laws of the State of Minnesota. Venue for all legal proceedings arising out of this grant agreement, or for breach thereof, shall be in the state or federal court with competent jurisdiction in Ramsey County, Minnesota.

*(If this grant agreement disburses any federal funds, delete the following section as Lobbying with federal funds is covered in Other Provisions. If this grant agreement disburses ONLY state funds, include the following section and delete Other Provisions.)*

**17. Lobbying** (Ensure funds are not used for lobbying, which is defined as attempting to influence legislators or other public officials on behalf of or against proposed legislation. Providing education about the importance of policies as a public health strategy is allowed. Education includes providing facts, assessment of data, reports, program descriptions, and information about budget issues and population impacts, but stopping short of making a recommendation on a specific piece of legislation. Education may be provided to legislators, public policy makers, other decision makers, specific stakeholders, and the general community.)

**17. Other Provisions** If this grant agreement disburses *any* federal funds, *all* of the following provisions must be included. Delete this entire clause (#17) if the grant agreement disburses *only* state funds.

**17.1 Contractor Debarment, Suspension and Responsibility Certification**

Federal regulation 2 CFR 200.12 prohibits the State from purchasing goods or services with federal money from vendors who have been suspended or debarred by the Federal Government. Similarly Minnesota Statute §16C.03, Subdivision 2, provides the
Commissioner of Administration with the authority to debar and suspend vendors who seek to contract with the State.

Vendors may be suspended or debarred when it is determined, through a duly authorized hearing process, that they have abused the public trust in a serious manner. In particular, the Federal Government expects the State to have a process in place for determining whether a vendor has been suspended or debarred, and to prevent such vendors from receiving federal funds.

By signing this contract, Grantee certifies that it and its principals:

(a) Are not presently debarred, suspended proposed for debarment, declared ineligible, or voluntarily excluded from transacting business by or with any federal, state or local governmental department or agency;

(b) Have not within a three-year period preceding this contract: a) 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; b) violated any federal or state antitrust statutes; or c) committed embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property;

(c) Are not presently indicted or otherwise criminally or civilly charged by a governmental entity for: a) commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (federal, state of local) transaction; b) violating any federal or state antitrust statutes; or c) committing embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statement or receiving stolen property; and

(d) Are not aware of any information and possess no knowledge that any subcontractor(s) that will perform work pursuant to this grant/contract are in violation of any of the certifications set forth above.

17.2 Audit Requirements to be Included in Grant Agreements with Subrecipients

(a) For subrecipients (grantees) that are state or local governments, non-profit organizations, or Indian Tribes:

If the Grantee expends total federal assistance of $750,000 or more per year, the grantee agrees to: a) obtain either a single audit or a program-specific audit made for the fiscal year in accordance with the terms of the Single Audit Act of 1984, as amended (31 U.S. Code Chapter 75) and 2 CFR 200; and, b) to comply with the Single Audit Act of 1984, as amended (31 U.S. Code Chapter 75) and 2 CFR 200.
Audits shall be made annually unless the grantee is a state or local government that has, by January 1, 1987, a constitutional or statutory requirement for less frequent audits. For those governments, the federal cognizant agency shall permit biennial audits, covering both years, if the government so requests. It shall also honor requests for biennial audits by state or local governments that have an administrative policy calling for audits less frequent than annual, but only audits prior to 1987 or administrative policies in place prior to January 1, 1987.

For subrecipients (grantees) that are institutions of higher education or hospitals:

If the Grantee expends total direct and indirect federal assistance of $750,000 or more per year, the Grantee agrees to obtain a financial and compliance audit made in accordance with 2 CFR 200. The audit shall cover either the entire organization or all federal funds of the organization.

The audit must determine whether the Grantee spent federal assistance funds in accordance with applicable laws and regulations.

(b) The audit shall be made by an independent auditor. An independent auditor is a state or local government auditor or a public accountant who meets the independence standards specified in the General Accounting Office's "Standards for Audit of Governmental Organizations, Programs, Activities, and Functions."

(b) The audit report shall state that the audit was performed in accordance with the provisions of 2 CFR 200.

The reporting requirements for audit reports shall be in accordance with the American Institute of Certified Public Accountants’ (AICPA) audit guide, "Audits of State and Local Governmental Units," issued in 1986. The Federal Government has approved the use of the audit guide.

In addition to the audit report, the Grantee shall provide comments on the findings and recommendations in the report, including a plan for corrective action taken or planned and comments on the status of corrective action taken on prior findings. If corrective action is not necessary, a statement describing the reason it is not should accompany the audit report.

(d) The Grantee agrees that the grantor, the Legislative Auditor, the State Auditor, and any independent auditor designated by the grantor shall have such access to Grantee's records and financial statements as may be necessary for the grantor to comply with the Single Audit Act Amendments of 1984, as amended (31 U.S. Code Chapter 75) and 2 CFR 200.
(e) If payments under this grant agreement will be made from federal funds obtained by the State through the American Recovery and Reinvestment Act of 2009 (Public Law 111-5), the Grantee is responsible for compliance with all federal requirements imposed on these funds. The Grantee must identify these funds separately on the schedule of expenditures of federal awards (SEFA), and must also accept full financial responsibility if it fails to comply with federal requirements. These requirements include, but are not limited to, Title III, part D, of the Energy Policy and Conservation Act (42 U.S.C. 6321 et seq. and amendments thereto); U.S. Department of Energy Financial Assistance Rules (10CFR600); and Title 2 of the Code of Federal Regulations.

(f) Grantees of federal financial assistance from subrecipients are also required to comply with the Single Audit Act Amendments of 1984, as amended (31 U.S. Code Chapter 75) and 2 CFR 200.

(g) The Statement of Expenditures form can be used for the schedule of federal assistance.

(h) The Grantee agrees to retain documentation to support the schedule of federal assistance for at least four (4) years.

(i) The Grantee agrees to file required audit reports within nine (9) months of the Grantee's fiscal year end.

2 CFR 200 requires recipients of more than $750,000 in federal funds to submit one copy of the audit report within 30 days after issuance to the central clearinghouse at the following address:

Bureau of the Census
Data Preparation Division
1201 East 10th Street
Jeffersonville, Indiana  47132
Attn:  Single Audit Clearinghouse

17.3 Drug-Free Workplace

Grantee agrees to comply with the Drug-Free Workplace Act of 1988, which is implemented at 34 CFR Part 85, Subpart F.

17.4 Lobbying

The Grantee agrees to comply with the provisions of United States Code, Title 31, Section 1352. The Grantee must not use any federal funds from the State to pay any person for influencing or attempting to influence an officer or employee of a federal
agency, a member of Congress, an officer or employee of Congress, or any employee of a member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement or the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement. If the Grantee uses any funds other than the federal funds from the State to conduct any of the aforementioned activities, the Grantee must complete and submit to the State the disclosure form specified by the State. Further, the Grantee must include the language of this provision in all contracts and subcontracts and all contractors and subcontractors must comply accordingly.

17.5 Equal Employment Opportunity

Grantee agrees to comply with the Executive Order 11246 "Equal Employment Opportunity" as amended by Executive Order 11375 and supplemented by regulations at 41 CFR Part 60.

17.6 Cost Principles

The Grantee agrees to comply with the provisions 2 CFR 200 regarding cost principles for administration of this grant award for educational institutions, state and local governments and Indian tribal governments or non-profit organizations.

17.7 Rights to Inventions – Experimental, Developmental or Research Work

The Grantee agrees to comply with 37 CFR Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements" and any implementing regulations issued by the awarding agency.

17.8 Clean Air Act

The Grantee agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act as amended (42 U.S.C. 7401 et seq.) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251 et seq.). Violations shall be reported to the Federal Awarding Agency Regional Office of the Environmental Protection Agency (EPA).

17.9 Whistleblower Protection for Federally Funded Grants

The “Pilot Program for Enhancement of Contractor Employee Whistleblower Protections,” 41 U.S.C. 4712, states, “employees of a contractor, grantee [or subgrantee] may not be discharged, demoted, or otherwise discriminated against as reprisal for “whistleblowing.” In
addition, whistleblowing protections cannot be waived by any agreement, policy, form or condition of employment.

The requirement to comply with, and inform all employees of, the “Pilot Program for Enhancement of Contractor Employee Whistleblower Protections” is in effect for all grants, contracts, subgrants, and subcontracts through January 1, 2017.
IN WITNESS WHEREOF, the parties have caused this grant agreement to be duly executed intending to be bound thereby.

APPROVED:

1. Grantee
   The Grantee certifies that the appropriate persons(s) have executed the grant agreement on behalf of the Grantee as required by applicable articles, bylaws, resolutions, or ordinances.

   By: ________________________________
   Title: ______________________________
   Date: ______________________________

   By: ________________________________
   Title: ______________________________
   Date: ______________________________

2. State Agency
   Grant Agreement approval and certification that State funds have been encumbered as required by Minn. Stat. §§16A.15 and 16C.05.

   By: ________________________________
   (with delegated authority)
   Title: ______________________________
   Date: ______________________________

   By: ________________________________
   Title: ______________________________
   Date: ______________________________

Distribution:

Agency – Original (fully executed) Grant Agreement
Grantee
State Authorized Representative