



**INDIAN NATION AGREEMENT**

HCA Contract Number: K  
Indian Nation Agreement Number:

**THIS INDIAN NATION AGREEMENT (AGREEMENT)** is made by and between the Washington State Health Care Authority (HCA) and (Indian Nation).

INDIAN NATION NAME		INDIAN NATION DIVISION OR AGENCY		
INDIAN NATION ADDRESS Street		City	State Washington	Zip Code
INDIAN NATION CONTACT		TELEPHONE	INDIAN NATION E-MAIL ADDRESS	
Is Indian Nation a Subrecipient under this Contract? <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO		CFDA NUMBER(S): 93.959; 93.788		FFATA Form Required <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO

HCA PROGRAM Office of Tribal Affairs	HCA DIVISION/SECTION
HCA CONTACT NAME AND TITLE Jessie Dean, Tribal Affairs Administrator	HCA CONTACT ADDRESS Health Care Authority 626 8th Avenue SE PO Box 45502 Olympia, WA 98504-5502
HCA CONTACT TELEPHONE (360) 725-1649	HCA CONTACT E-MAIL ADDRESS tribalaffairs@hca.wa.gov

This Agreement will automatically renew for subsequent five-year terms unless either Party provides written notice to the other Party of the intent not to renew this Agreement 30 calendar days prior to the end of the Term.

AGREEMENT START DATE July 1, 2019	AGREEMENT END DATE June 30, 2021	Total Contract Amount
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The parties signing below warrant that they have read and understand this Agreement, and have authority to execute this Agreement. This Agreement will be binding on HCA only upon signature by HCA.

INDIAN NATION SIGNATURE	PRINTED NAME AND TITLE	DATE SIGNED
HCA SIGNATURE	PRINTED NAME AND TITLE	DATE SIGNED

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## 1. Authority

This Indian Nation Agreement (Agreement) is entered into between the ( ), (Indian Nation) and the Washington State Health Care Authority (HCA) (collectively, Parties) pursuant to their respective governmental authorities. The ( ) is authorized to enter into this Agreement under its constitution, legislative resolution, and other applicable tribal authority. HCA is authorized to enter into this Agreement pursuant to the Interlocal Cooperation Act, RCW 39.34, which permits any state agency to enter into a cooperative agreement with an Indian Nation for their mutual advantage and cooperation.

The Indian Nation Agreement, together with all schedules and attachments (including all exhibits to any schedules), constitutes the final, complete, and exclusive statement of the agreement of the Parties relative to the subject matter hereof and supersedes all previous or contemporaneous oral and written proposals, negotiations, representations, or understandings concerning such subject matter. The Parties intend that this Agreement be liberally construed to effectuate its intent and purposes.

## 2. Purpose

The Indian Nation and HCA enter into this Agreement to:

- a. Recognize the government-to-government relationship between the tribes and both the United States government and the Washington State government.
- b. Respect the Indian Nation's inherent right to design and operate culturally relevant and appropriate programs on behalf of the population served.
- c. Increase the quality and efficiency of state and tribal benefits and services to Washington State American Indian/Alaska Native (AI/AN) individuals and non-AI/AN individuals served by the Indian Nation.

## 3. Definitions

The Indian Nation and the HCA agree to the following definitions for the purposes of this Agreement.

- a. "Administrative Costs" means the costs incurred by the Indian Nation that are not attributable to direct services. Examples of Administrative Costs include non-direct costs associated with customer service, utilization management, network development, and quality management programs.
- b. "CFR" means the Code of Federal Regulations. All references in this Agreement to CFR chapters or sections include any successor, amended, or replacement regulation, or any successor or replacement federal Office of Management and Budget circular or regulation as of the effective date of such successor, amended, or replacement regulation or circular.
- c. "Confidential Information" means information that is exempt from disclosure to the public or other unauthorized persons under RCW 42.56 or other federal, state, or Tribal Law. Confidential Information includes, but is not limited to, Personal Information.
- d. "Health Care Authority" or "HCA" means the Washington State Health Care Authority, any division, section, office, unit or other entity of HCA, or any of the officers or other officials lawfully representing HCA.
- e. "HHS" means the U.S. Department of Health and Human Services, any administration, division, section, office, unit or other entity of HHS, or any of the officers or other officials lawfully representing HHS.

- f. "Indian Nation" or "Tribe" means the federally recognized Indian Tribe that has executed this Agreement and its designated subdivisions and agencies performing services pursuant to this Agreement and includes the Indian Nation's officers, employees, and/or agents. For purposes of any permitted Subcontract, "Indian Nation" includes any Subcontractor of the Indian Nation and the Subcontractor's owners, members, officers, directors, partners, employees, and/or agents.
- g. "Indian Nation Agreement" or "Agreement" means this Agreement, and any attachments, schedules (including exhibits therein), and other documents attached to or incorporated therein by reference. Unless plainly inconsistent with context, the term "Agreement" includes and refers to all such agreements collectively.
- h. "Monitor" or "Monitoring" means any planned and ongoing or periodic activity by HCA to ensure that the expenditures under the Agreement are spent for authorized purposes, in compliance with the requirements of 45 CFR Part 75 for federal and state funds and the Scope of Work, including (i) reviewing financial and performance reports submitted by the Indian Nation; (ii) following-up and ensuring that the Indian Nation takes timely and appropriate action, if applicable, on all deficiencies pertaining to the federal funds; (iii) providing training and technical assistance on Scope of Work related matters; and (iv) arranging for agreed-upon procedures engagements limited in scope to activities allowed or unallowed, allowable cost/cost principles, eligibility, and reporting.
- i. "Personal Information" means information identifiable to any person, including, but not limited to, information that relates to a person's name, health, tribal citizenship or enrollment status, finances, education, business, use or receipt of governmental services or other activities, addresses, telephone numbers, Social Security numbers, driver license numbers, other identifying numbers, and any financial numbers. Personal Information includes "Protected Health Information" as set forth in 45 CFR § 160 and 164, as currently written and subsequently amended and other information that may be exempt from disclosure to the public or other unauthorized persons under federal, tribal, or state law.
- j. "Protected Health Information" or "PHI" means information that relates to the provision of health care to an individual; the past, present, or future physical or mental health or condition of an individual; or past, present, or future payment for provision of health care to an individual. 45 CFR § 160 and 164. PHI includes demographic information that identifies the individual or about which there is reasonable basis to believe, can be used to identify the individual. 45 CFR § 160.103. PHI is information transmitted, maintained, or stored in any form or medium. 45 CFR § 164.501. PHI does not include education records covered by the Family Educational Right and Privacy Act, as amended, 20 USC § 1232g(a)(4)(b)(iv).
- k. "RCW" means the Revised Code of Washington. All references in this Agreement to RCW chapters or sections includes any successor, amended, or replacement statute, as of the effective date of such successor, amended, or replacement statute.
- l. "Scope of Work" means any schedule to this Agreement, each of which is incorporated into this Agreement, establishing special terms and conditions for services to be provided by the Indian Nation as described therein.
- m. "Subcontract" means a separate contract between the Indian Nation and an individual or entity ("Subcontractor") to perform all or a portion of the duties and obligations that the Indian Nation is obligated to perform pursuant to any Scope of Work.
- n. "Tribal Law" means the resolutions, laws, codes, and/or ordinances enacted by the Indian Nation executing this Agreement, and any of the Indian Nation's tribal court decisions interpreting the same. All references in this Agreement to Tribal Law includes any successor, amended, or replacement law, as of the effective date of such successor, amended, or replacement law.

- o. "WAC" means the Washington Administrative Code. All references in this Agreement to WAC chapters or sections include any successor, amended, or replacement regulation, as of the effective date of such successor, amended, or replacement regulation.

#### **4. Term**

This Agreement becomes effective July 1, 2019 and ends on June 30, 2024. This Agreement will automatically renew for subsequent five-year terms unless either Party provides written notice to the other Party of the intent not to renew this Agreement 30 calendar days prior to the end of the Term.

The Parties agree that nothing in this section will prohibit the Parties from agreeing to a term within a Scope of Work that is different from the term that is provided in this section so long as the term in a Scope of Work begins and ends within the term established under this section.

#### **5. Amendment**

This Agreement, including any Scope of Work, may be amended or renegotiated by mutual and written agreement of the Parties. The Parties agree to follow the amendment process established in this Agreement.

Such amendments will not be binding unless they are in writing and signed by personnel authorized to bind each of the Parties.

#### **6. Assignment**

The Indian Nation will not assign or transfer all or any portion of this Agreement or any of its rights or obligations, without obtaining prior written consent of HCA. HCA will not recognize any assignment without such prior written consent. In the event that consent is given and this Agreement or any portion thereof is assigned, all terms and conditions of this Agreement are binding upon the Indian Nation's assignees.

#### **7. Compliance with Applicable Law.**

At all times during the term of this Agreement, the Parties will comply with all applicable federal, tribal, and state laws and regulations.

#### **8. Confidentiality**

- a. The Parties will not use, publish, transfer, sell, or otherwise disclose any Confidential Information gained by reason of this Agreement for any purpose that is not directly connected with the performance of the services contemplated hereunder, except as provided by law.
- b. The Parties will protect and maintain all Confidential Information gained by reason of this Agreement against unauthorized use, access, disclosure, modification or loss. This duty requires the Parties to employ reasonable security measures, which include restricting access to the Confidential Information by:
  - 1) Allowing access only to staff that have an authorized business requirement to view the Confidential Information.
  - 2) Physically securing any computers, documents, or other media containing the Confidential Information.

- c. To the extent allowed by law, at the end of the Agreement term, the Parties will return Confidential Information or certify in writing the destruction of Confidential Information upon written request by the other Party.
- d. Paper documents with Confidential Information may be recycled through a contracted firm, provided the contract with the recycler specifies that the confidentiality of information will be protected, and the information destroyed through the recycling process. Paper documents containing Confidential Information requiring special handling (e.g. protected health information) will be destroyed on-site through shredding, pulping, or incineration.
- e. The compromise or potential compromise of Confidential Information will be reported to the HCA Contact within five (5) business days of discovery. The Parties will also take actions to mitigate the risk of loss and comply with any notification or other requirements imposed by law.

**9. Conflict Resolution/Disputes**

- a. The Parties agree to work cooperatively to accomplish all of the terms of this Agreement. However, the Parties acknowledge that there may be instances in which either the Tribe or HCA has not complied with the conditions of this Agreement. In such an instance, the Tribe and HCA will attempt to resolve the matter through discussions. If unsuccessful, the Tribe and HCA agree to refer the issue to a Dispute Board and abide by the decisions of the Dispute Board.
- b. The Dispute Board will consist of three individuals, one selected by the Tribe, one selected by HCA, and a third party to be chosen by the first two. The Dispute Board will review the facts, Agreement terms, terms in any applicable Scope of Work, and applicable statutes and regulations and make a determination regarding the dispute.

**10. Contract Management**

The contract manager for each of the Parties will be responsible for and will be the contact person for all communications and billings regarding this Agreement, and they are listed below. Each Party will have the right to change its contract manager by providing written notice to the other Party of the name and contact information for the new contract manager. The Parties may identify different managers for any Scope of Work.

Indian Nation		Health Care Authority	
Contract Manager Information		Contract Manager Information	
Name:		Name:	Jessie Dean
Title:		Title:	Tribal Affairs Administrator
Address:		Address:	PO Box 45502 Olympia WA 98504-5502
Phone:		Phone:	(360) 725-1649
Email:		Email:	tribalaffairs@hca.wa.gov

**11. Culturally Relevant Services**

In reviewing and agreeing to any Scope of Work, HCA will respect and support the Indian Nation’s ability to develop and operate programs and deliver goods, services, and/or benefits in a manner that is culturally relevant and appropriate, and that is particularly suited to and/or particularly located for access by members of the Indian Nation and other community members, in accordance with Tribal Law and policies.

## **12. Debarment Certification**

The Indian Nation, by signature to this Agreement, certifies that it is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in this Agreement by any Federal department or agency. The Indian Nation also agrees to include the above requirement into any subcontracts entered into in connection with the Indian Nation's duty to provide services under this Agreement.

## **13. Governing Law**

This Agreement is governed and construed in accordance with applicable federal law of the United States and, to the extent an issue is not addressed by federal law, in accordance with the applicable laws of the state of Washington governing interpretation of contracts.

## **14. Hiring and Employment Practices**

The Indian Nation may give preference in its hiring and employment practices to members of the Indian Nation or other Indian Nations (including for purposes of this section Indian Nations previously but not currently recognized by the federal government) or their descendants, who have met all requirements for that position, including applicable federal law and Tribal Law and policies.

## **15. Independent Status**

For purposes of this Agreement, the Indian Nation acknowledges that the Indian Nation is not an officer, employee, or agent of HCA or the state of Washington. The Indian Nation will not hold out itself, or any of its employees as, nor claim status as, an officer, employee, or agent of HCA or the state of Washington. The Indian Nation will not claim for itself or its employees any rights, privileges, or benefits which would accrue to an employee of the state of Washington.

## **16. Insurance**

HCA will recommend insurance coverage in, and as appropriate to, individual Scopes of Work. Upon request and only to the extent of liability not covered by the Federal Tort Claims Act (28 U.S.C. § 1346), the Indian Nation may provide to HCA a certificate of insurance that outlines the coverage and limits defined in the insurance section of the individual Scope of Work or consult with HCA for guidance on appropriate levels of coverage. If HCA requests a certificate of insurance, then the Indian Nation will submit renewal certificates as appropriate during the term of the Agreement.

## **17. Legal Notices**

- a. Any notice, demand, or other communication required or permitted to be given under this Agreement or applicable law is effective only if it is in writing and signed by the applicable Party, properly addressed, and delivered in person, or by a recognized courier service, or deposited with the United States Postal Service as first-class mail, postage prepaid certified mail, return receipt requested, to the Parties at the addresses provided in this section.

LEGAL NOTICES		
Indian Nation		Health Care Authority
Name:		ATTN: Contracts Administrator
Address:		Health Care Authority Division of Legal Services PO Box 45502 Olympia WA 98504-5502

- b. Notices are effective upon receipt or four business days after mailing, whichever is earlier.
- c. The notice address and information provided above may be changed by written notice of the change given as provided above.

**18. Monitoring**

The Indian Nation and HCA agree as follows:

- a. Under 45 CFR Part 75, HCA is legally obligated to Monitor and will Monitor the activities of the Indian Nation under the Agreement and any Scope of Work for compliance with applicable federal, including 2 CFR Part 200, 45 CFR Part 75.
- b. The Indian Nation and HCA will make good faith efforts to collaborate in these Monitoring activities, including providing HCA with copies of any records or supporting documents which are pertinent to a Scope of Work upon request.
- c. To honor tribal sovereignty in a manner consistent with chapters 43.71B and 43.376 RCW, HCA will not conduct on-site reviews on tribal land without advance invitation in writing from the Indian Nation.

**19. Notification of Funding**

HCA will notify the Indian Nation of any projected or anticipated budget increase or decrease that materially affects any program or service under a Scope of Work as soon as reasonably practicable. This includes one-time surplus funding that could be obligated for unmet needs in Indian Nation services and program development.

**20. Operation and Order of Precedence**

Each Scope of Work between the Indian Nation and HCA, in effect on or after the effective date of this Agreement, is incorporated by reference into this Agreement and is governed by this Agreement. In the event of any inconsistency in this Agreement and any Scope of Work, the inconsistency will be resolved by giving precedence to the applicable Scope of Work and its attachments over this Agreement.

**21. Ownership of Material**

- a. The Indian Nation solely owns all materials of unique cultural significance unless otherwise expressly agreed in the applicable Scope of Work.
- b. Materials created by the Indian Nation which the Indian Nation uses to perform the Scope of Work (including without limitation books, computer programs, documents, films, pamphlets, reports, sound reproductions, studies, surveys, tapes and/or training materials) will be owned by the Indian Nation,

regardless of whether the materials are paid for in whole or in part by HCA, except when such materials have been expressly identified within the applicable Scope of Work as belonging to HCA.

## **22. Public Disclosure**

The Indian Nation acknowledges that this Agreement, including all attachments, schedules, exhibits, and addenda hereto, is subject to the Public Records Act (RCW 42.56) and that any documents submitted by the Indian Nation to HCA may be subject to disclosure under such law except as explicitly provided herein.

## **23. Records and Right of Access**

In accordance with the requirements of 45 CFR Part 75, 2 CFR Part 200, the Indian Nation and HCA agree as follows:

- a. The Indian Nation will retain all financial records, supporting documents, statistical records, and all other Indian Nation records pertinent to the Agreement and any Scope of Work;
- b. The Indian Nation will ensure all accounting records, including all invoices, expenditures, and payments, are maintained in accordance with applicable generally accepted accounting principles;
- c. The Indian Nation will ensure all transactions will be made in compliance with 45 CFR Part 75 and 2 CFR Part 200 for federal funds;
- d. The Indian Nation will provide information necessary for the HCA to comply with 45 CFR Part 75 and 2 CFR Part 200.

## **24. Reporting**

The Indian Nation will submit the reports and supporting documentation on or before the due dates set forth in the applicable Scope of Work.

## **25. Requirements**

- a. If the Indian Nation receives federal funds under this Scope of Work, the requirements of 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) applicable to subrecipients of federal grant monies apply to the Indian Nation under this Scope of Work. If the federal funds received under this Scope of Work are from the U.S. Department of Health and Human Services, the requirements of 45 CFR Part 75 also apply to HCA and the Indian Nation. In addition, the Indian Nation and HCA agree that the federal funds will be expended in accordance with this Agreement and the Tribal Plan. If the Indian Nation's Single Audit Report contains audit findings related to the Scope of Work, HCA and the Indian Nation will develop and agree on a corrective action plan to address the audit findings as required by 2 CFR Part 200, Appendix XI, Section 3.1 – M.
- b. If the Indian Nation receives state funds but no federal funds under this Scope of Work, the Indian Nation and HCA agree that the state funds will be expended in accordance with this Agreement and the Tribal Plan.

## **26. Responsibility**

The Indian Nation will be responsible for the acts or omissions of the Indian Nation and its officers and employees. HCA will be responsible for the acts or omissions of HCA and its officers and employees.

## **27. Responsibilities of the Health Care Authority**

- a. HCA will promptly respond on a case-by-case basis to any written request by the Indian Nation regarding the Tribe's eligibility to access any newly funded services.
- b. As required by RCW 43.376.040, HCA will ensure that HCA employees receive training in:
  - 1) Effective communication and collaboration between state agencies and Indian tribes; and
  - 2) Cultural competency (cultural humility) in providing effective services to tribal governments and tribal members.
- c. HCA will support the Indian Nation in its efforts to petition the Legislature to amend statutory provisions that the Indian Nation finds burdensome, unless HCA determines that the requested amendment would be in direct conflict with a federal statute or regulation, be inconsistent with the purposes of the program, or be in conflict with program goals.
- d. HCA will respect Tribal Law that meets or exceeds the requirements set forth in federal or state law as it pertains to this Agreement.
- e. Compliance Testing
  - 1) HCA may test compliance with the terms of this Agreement in a combination of ways, including but not limited to:
    - (a) Review of reports submitted by the Indian Nation to HCA.
    - (b) Review of any documents related to the services provided pursuant to this Agreement submitted from the Indian Nation's federal Single Audit Act audit, provided that such documents will not be subject to public disclosure if the Indian Nation has opted out of making the Single Audit report publicly available as permitted by 2 CFR § 200.512(b)(2).
    - (c) A biennial review of programs covered by this Agreement by conducting a review of documents submitted by the Indian Nation.

## **28. Severability**

The provisions of the Agreement are severable. If any provision of the Agreement, including any provision of any document incorporated by reference, is held invalid by any court of competent jurisdiction, then that invalidity will not affect the other provisions of the Agreement and the invalid provision will be considered modified to conform to existing law and regulations.

## **29. Sovereign Immunity – No Waiver**

Nothing whatsoever in this Agreement constitutes or will be construed as a waiver of either Party's sovereign immunity.

## **30. Subcontracting**

Either Party may subcontract services to be provided under a Scope of Work. In any event, the Indian Nation will remain ultimately responsible to HCA and HCA will remain ultimately responsible to the Indian Nation for performance of all duties and obligations under this Agreement. Each Party will be responsible for the acts and omissions of its subcontractors.

### **31. Subrecipients**

If, as a result of this Agreement, the Indian Nation is a subrecipient of federal awards as defined by 2 CFR Part 200, the Indian Nation will comply with all applicable requirements of 2 CFR Part 200, including requirements regarding the reimbursement and the overpayment of unallowable costs.

### **32. Survivability**

The terms and conditions contained in this Agreement that by their sense and context are intended to survive the expiration or termination of this Agreement will so survive.

### **33. Scope of Work Renegotiation, Suspension, or Termination Due to Change in Funding.**

If the funds HCA relied upon to establish any program or service within a Scope of Work are withdrawn, reduced or limited, or if additional or modified conditions are placed on such funding, after the effective date of any Scope of Work but prior to the normal completion of the Scope of Work:

- a. The Scope of Work may be renegotiated under the revised funding conditions.
- b. HCA may give written notice to the Indian Nation to suspend performance when HCA determines that there is reasonable likelihood that the funding insufficiency may be resolved in a timeframe that would allow the Indian Nation's performance to be resumed prior to the normal completion date of any Scope of Work.
  - 1) During the period of suspension of performance, each Party will inform the other of any conditions that may reasonably affect the potential for resumption of performance.
  - 2) When HCA determines that the funding insufficiency is resolved, it will give the Indian Nation written notice to resume performance. Upon the receipt of this notice, the Indian Nation will provide written notice to HCA informing HCA whether it can resume performance and, if so, the date of resumption. For purposes of this subsection, "written notice" may include email.
  - 3) If the Indian Nation's proposed resumption date is not acceptable to HCA and an acceptable date cannot be negotiated, HCA may terminate any Scope of Work by giving written notice to the Indian Nation. The Parties agree that the affected Scope of Work will be terminated retroactive to the date of the notice of suspension. HCA will be liable only for payment in accordance with the terms of the respective Scope of Work for services rendered prior to the retroactive date of termination.
- c. HCA may terminate any Scope of Work by providing ten calendar days' written notice to the Indian Nation. The termination will be effective on the date specified in the termination notice. HCA will be liable only for payment in accordance with the terms of any affected Scope of Work for services rendered prior to the effective date of termination. No penalty will accrue to HCA in the event the termination option in this section is exercised.
- d. If funds are available, HCA will pay the Indian Nation for its reasonable costs that directly relate to termination of the Scope of Work. The Parties may identify such costs in any Scope of Work. Such costs may include, but are not limited to, close-out costs, unemployment costs, severance pay, retirement benefits, reasonable profits, and termination costs associated with any subcontract.

### **34. Termination or Cancellation**

- a. The Indian Nation may terminate or return administrative responsibility to the state for any program prior to the end of the term of a Scope of Work and will provide HCA with notification of its intent to do so at least 60 calendar days prior to the effective date of the termination or retrocession.

- b. Any money paid to the Indian Nation by HCA to provide a service or program for the period of time that program administration is returned to the state by the Indian Nation will be paid back to the HCA prior to the effective date of the return of program administrative responsibility to the state.
- c. If the Tribe terminates or returns administrative responsibility to the state for a service or program contained in this Agreement or any Scope of Work, the Indian Nation and HCA may then execute a new and separate agreement to enable the Tribe to operate that service or program outside of the consolidated Agreement.

### **35. Termination for Convenience**

Either Party may terminate any Scope of Work by giving the other Party at least 30 calendar days' written notice. If either Party terminates any Scope of Work for convenience, the terminating Party may pay an amount agreed to by the Parties for actual costs incurred by the non-terminating Party in performance of or in reliance on the Scope of Work.

### **36. Termination for Default.**

- a. HCA may terminate the Agreement for default, in whole or in part, by written notice to the Indian Nation if HCA has a reasonable basis to believe that the Indian Nation has:
  - 1) Failed to meet or maintain any requirement for contracting with HCA;
  - 2) Failed to perform under any provision of the Agreement;
  - 3) Negligently failed to ensure the health or safety of any client for whom services are being provided under any Scope of Work;
  - 4) Violated any applicable law, regulation, rule, or ordinance related to any Scope of Work; or
  - 5) Otherwise breached any provision or condition of the Agreement.
- b. HCA will give the Indian Nation at least fifteen business days' notice of HCA's intent to terminate the Agreement, along with a summary of the facts supporting such termination. Such notice will provide the Indian Nation at least ten business days in which to cure the default; provided, that if it will reasonably take longer than ten business days to cure the default, the cure period will be a reasonable period agreed by the Parties. In the event of a second or subsequent episode of default, HCA will not be required to provide a cure period. HCA is not required to offer a cure period if a client's health or safety is at risk, except this provision does not apply if the alleged default is an activity related to Tribal Law, custom, or practice.
- c. The Indian Nation may terminate the Agreement for default, in whole or in part, by written notice to HCA, if the Indian Nation has a reasonable basis to believe that HCA has:
  - 1) Failed to meet or maintain any requirement for contracting with the Indian Nation;
  - 2) Failed to perform under any provision of the Agreement;
  - 3) Violated any law, regulation, rule, or ordinance applicable to work performed under the Agreement;  
or
  - 4) Otherwise breached any provision or condition of the Agreement.
- d. Before the Indian Nation may terminate the Agreement for default, the Indian Nation will provide HCA at least fifteen business days' written notice of the Indian Nation's intent to terminate the Agreement,

along with a summary of the facts supporting such termination. HCA will have at least ten business days in which to cure the default provided that if it will reasonably take longer than ten business days to cure the default, the cure period will be a reasonable period agreed by the Parties.

### **37. Termination Procedure**

The following provisions will survive and be binding on the Parties in the event the Agreement is terminated:

- a. Except as otherwise required under this section, the Indian Nation will cease to perform any services required by the Agreement as of the effective date of termination and will comply with all reasonable instructions contained in the notice of termination.
- b. If requested by HCA within ten business days after termination, the Indian Nation will, within a period not to exceed 30 business days, deliver to HCA all HCA assets (property) in its possession. If the Indian Nation does not return HCA property within such time period, the Indian Nation will be charged with all reasonable costs of recovery, including transportation and attorney's fees. The Indian Nation will protect and preserve any property of HCA that is in the possession of the Indian Nation pending return to HCA.
- c. HCA will be liable for and will pay for those services authorized and provided through the date of termination. HCA may pay an amount agreed to by the Parties for partially completed work and services, if work products are useful to or usable by HCA.
- d. If HCA terminates the Agreement for default, HCA may withhold a sum from the final payment to the Indian Nation that is reasonable and necessary to protect HCA against reasonably anticipated loss or liability. HCA will provide the Indian Nation with written notice of the amount withheld and the nature of the reasonably anticipated loss or liability. If it is later determined that the Indian Nation was not in default, HCA will pay the amount withheld to the Indian Nation within ten business days of determining that the Indian Nation was not in default.

### **38. Treatment of HCA Assets**

Except as otherwise provided in any Scope of Work, title to all assets (property) purchased or furnished by HCA for use by the Indian Nation during the Scope of Work term will remain with HCA. During the term of any Scope of Work, the Indian Nation will protect, maintain, and insure all HCA property in the Indian Nation's possession against loss or damage.

### **39. Waiver**

Waiver of any breach or default on any occasion will not be deemed to be a waiver of any subsequent breach or default. Any waiver will not be construed to be a modification of the terms and conditions of the Agreement. Only the HCA Contracts Administrator or designee has the authority to waive any term or condition of this Agreement on behalf of HCA. Only the Tribe's official designee has the authority to waive any term or condition of this Agreement on behalf of the Indian Nation.

ATTACHMENT 1

FEDERAL COMPLIANCE, CERTIFICATIONS, AND ASSURANCES

In the event federal funds are included in this agreement, the following sections apply: I. Federal Compliance and II. Standard Federal Assurances and Certifications. In the instance of inclusion of federal funds, the Contractor may be designated as a sub-recipient and the effective date of the amendment shall also be the date at which these requirements go into effect.

- I. **FEDERAL COMPLIANCE** - The use of federal funds requires additional compliance and control mechanisms to be in place. The following represents the majority of compliance elements that may apply to any federal funds provided under this contract. For clarification regarding any of these elements or details specific to the federal funds in this contract, contact: Contracts@hca.wa.gov
- a. *Source of Funds:* This agreement is being funded partially or in full through Cooperative Agreement number **TM010056**, the full and complete terms and provisions of which are hereby incorporated into this agreement can be found by reference in Exhibit C. Federal funds to support this agreement are identified by the Catalog of Federal Domestic Assistance (CFDA) number **93.959** and amount to ( ). The sub-awardee is responsible for tracking and reporting the cumulative amount expended under HCA Contract No. **K( )**.
  - b. *Source of Funds:* This agreement is being funded partially or in full through Cooperative Agreement number **H79TI081705**, the full and complete terms and provisions of which are hereby incorporated into this agreement can be found by reference in Exhibit C. Federal funds to support this agreement are identified by the Catalog of Federal Domestic Assistance (CFDA) number **93.788** and amount to ( ). The sub-awardee is responsible for tracking and reporting the cumulative amount expended under HCA Contract No. **K( )**.
  - c. *Period of Availability of Funds:* Pursuant to 45 CFR 92.23, Sub-awardee may charge to the award only costs resulting from obligations of the funding period specified in grants TM010056 and H79TI081705, unless carryover of unobligated balances is permitted, in which case the carryover balances may be charged for costs resulting from obligations of the subsequent funding period. All obligations incurred under the award must be liquidated no later than 90 days after the end of the funding period.
  - d. *Single Audit Act:* A sub-awardee (including private, for-profit hospitals and non-profit institutions) shall adhere to the federal Office of Management and Budget (OMB) Super Circular 2 CFR 200.501 and 45 CFR 75.501. A sub-awardee who expends \$750,000 or more in federal awards during a given fiscal year shall have a single or program-specific audit for that year in accordance with the provisions of OMB Super Circular 2 CFR 200.501 and 45 CFR 75.501.
  - e. *Modifications:* This agreement may not be modified or amended, nor may any term or provision be waived or discharged, including this particular Paragraph, except in writing, signed upon by both parties.
    - 1. Examples of items requiring Health Care Authority prior written approval include, but are not limited to, the following:
      - i. Deviations from the budget and Project plan.
      - ii. Change in scope or objective of the agreement.
      - iii. Change in a key person specified in the agreement.
      - iv. The absence for more than three months or a 25% reduction in time by the Project Manager/Director.
      - v. Need for additional funding.
      - vi. Inclusion of costs that require prior approvals as outlined in the appropriate cost principles.
      - vii. Any changes in budget line item(s) of greater than twenty percent (20%) of the total budget in this agreement.

2. No changes are to be implemented by the Sub-awardee until a written notice of approval is received from the Health Care Authority.
- f. *Sub-Contracting*: The sub-awardee shall not enter into a sub-contract for any of the work performed under this agreement without obtaining the prior written approval of the Health Care Authority. If sub-contractors are approved by the Health Care Authority, the subcontract, shall contain, at a minimum, sections of the agreement pertaining to Debarred and Suspended Vendors, Lobbying certification, Audit requirements, and/or any other project Federal, state, and local requirements.
- g. *Condition for Receipt of Health Care Authority Funds*: Funds provided by Health Care Authority to the sub-awardee under this agreement may not be used by the sub-awardee as a match or cost-sharing provision to secure other federal monies without prior written approval by the Health Care Authority.
- h. *Unallowable Costs*: The sub-awardees' expenditures shall be subject to reduction for amounts included in any invoice or prior payment made which determined by HCA not to constitute allowable costs on the basis of audits, reviews, or monitoring of this agreement.
- i. *Citizenship/Alien Verification/Determination*: The Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996 (PL 104-193) states that federal public benefits should be made available only to U.S. citizens and qualified aliens. Entities that offer a service defined as a "federal public benefit" must make a citizenship/qualified alien determination/ verification of applicants at the time of application as part of the eligibility criteria. Non-US citizens and unqualified aliens are not eligible to receive the services. PL 104-193 also includes specific reporting requirements.
- j. *Federal Compliance*: The sub-awardee shall comply with all applicable State and Federal statutes, laws, rules, and regulations in the performance of this agreement, whether included specifically in this agreement or not.
- k. *Civil Rights and Non-Discrimination Obligations* During the performance of this agreement, the Contractor shall comply with all current and future federal statutes relating to nondiscrimination. These include but are not limited to: Title VI of the Civil Rights Act of 1964 (PL 88-352), Title IX of the Education Amendments of 1972 (20 U.S.C. §§ 1681-1683 and 1685-1686), section 504 of the Rehabilitation Act of 1973 (29 U.S.C. § 794), the Age Discrimination Act of 1975 (42 U.S.C. §§ 6101-6107), the Drug Abuse Office and Treatment Act of 1972 (PL 92-255), the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (PL 91-616), §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290dd-3 and 290ee-3), Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), and the Americans with Disability Act (42 U.S.C., Section 12101 et seq.) <http://www.hhs.gov/ocr/civilrights>

#### **HCA Federal Compliance Contact Information**

Federal Grants and Budget Specialist  
Health Care Policy  
Washington State Health Care Authority  
Post Office Box 42710  
Olympia, Washington 98504-2710

- II. **CIRCULARS 'COMPLIANCE MATRIX'** - The following compliance matrix identifies the OMB Circulars that contain the requirements which govern expenditure of federal funds. These requirements apply to the Washington State Health Care Authority (HCA), as the primary recipient of federal funds and then follow the funds to the sub-awardee, ( ). The federal Circulars which provide the applicable administrative requirements, cost principles and audit requirements are identified by sub-awardee organization type.

III.

ENTITY TYPE	OMB CIRCULAR		
	ADMINISTRATIVE REQUIREMENTS	COST PRINCIPLES	AUDIT REQUIREMENTS
State, Local and Indian Tribal Governments and Governmental Hospitals	OMB Super Circular 2 CFR 200.501 and 45 CFR 75.501		
Non-Profit Organizations and Non-Profit Hospitals			
Colleges or Universities and Affiliated Hospitals			
For-Profit Organizations			

**Definitions:**

**“Sub-recipient”;** means the legal entity to which a sub-award is made and which is accountable to the State for the use of the funds provided in carrying out a portion of the State’s programmatic effort under a sponsored project. The term may include institutions of higher education, for-profit corporations or non-U.S. Based entities.

**“Sub-award and Sub-grant”** are used interchangeably and mean a lower tier award of financial support from a prime awardee (e.g., Washington State Health Care Authority) to a Sub-recipient for the performance of a substantive portion of the program. These requirements do not apply to the procurement of goods and services for the benefit of the Washington State Health Care Authority.

**IV. STANDARD FEDERAL CERTIFICATIONS AND ASSURANCES** - Following are the Assurances, Certifications, and Special Conditions that apply to all federally funded (in whole or in part) agreements administered by the Washington State Health Care Authority.

CERTIFICATIONS

**1. CERTIFICATION REGARDING DEBARMENT AND SUSPENSION**

The undersigned (authorized official signing for the contracting organization) certifies to the best of his or her knowledge and belief, that the contractor, defined as the primary participant in accordance with 45 CFR Part 76, and its principals:

- a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency;
- b) have not within a 3-year period preceding this contract been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery,

falsification or destruction of records, making false statements, or receiving stolen property;

- c) are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- d) have not within a 3-year period preceding this contract had one or more public transactions (Federal, State, or local) terminated for cause or default.

Should the contractor not be able to provide this certification, an explanation as to why should be placed after the assurances page in the contract.

The contractor agrees by signing this contract that it will include, without modification, the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion--Lower Tier Covered Transactions" in all lower tier covered transactions (i.e., transactions with sub-grantees

and/or contractors) and in all solicitations for lower tier covered transactions in accordance with 45 CFR Part 76.

## 2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

The undersigned (authorized official signing for the contracting organization) certifies that the contractor will, or will continue to, provide a drug-free workplace in accordance with 45 CFR Part 76 by:

- a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- b) Establishing an ongoing drug-free awareness program to inform employees about
  - (1) The dangers of drug abuse in the workplace;
  - (2) The contractor's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- c) Making it a requirement that each employee to be engaged in the performance of the contract be given a copy of the statement required by paragraph (a) above;
- d) Notifying the employee in the statement required by paragraph (a), above, that, as a condition of employment under the contract, the employee will—
  - (1) Abide by the terms of the statement; and
  - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- e) Notifying the agency in writing within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every contract

officer or other designee on whose contract activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

- f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d) (2), with respect to any employee who is so convicted—
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

For purposes of paragraph (e) regarding agency notification of criminal drug convictions, Authority has designated the following central point for receipt of such notices:

Legal Services Manager  
WA State Health Care Authority  
PO Box 42700  
Olympia, WA 98504-2700

## 3. CERTIFICATION REGARDING LOBBYING

Title 31, United States Code, Section 1352, entitled "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions," generally prohibits recipients of Federal grants and cooperative agreements from using Federal (appropriated) funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a SPECIFIC grant or cooperative agreement. Section 1352 also requires that each person who requests or receives a Federal grant or cooperative agreement must disclose lobbying undertaken with non-Federal

(nonappropriated) funds. These requirements apply to grants and cooperative agreements EXCEEDING \$100,000 in total costs (45 CFR Part 93).

The undersigned (authorized official signing for the contracting organization) certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an 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, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. (If needed, Standard Form-LLL, "Disclosure of Lobbying Activities," its instructions, and continuation sheet are included at the end of this application form.)
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subcontracts at all tiers (including subcontracts, subcontracts, and contracts under grants, loans and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, U.S. Code. Any person who fails to file the required certification

shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### **4. CERTIFICATION REGARDING PROGRAM FRAUD CIVIL REMEDIES ACT (PFCRA)**

The undersigned (authorized official signing for the contracting organization) certifies that the statements herein are true, complete, and accurate to the best of his or her knowledge, and that he or she is aware that any false, fictitious, or fraudulent statements or claims may subject him or her to criminal, civil, or administrative penalties. The undersigned agrees that the contracting organization will comply with the Public Health Service terms and conditions of award if a contract is awarded.

#### **5. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE**

Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, education or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law also applies to children's services that are provided in indoor facilities that are constructed, operated, or maintained with such Federal funds. The law does not apply to children's services provided in private residence, portions of facilities used for inpatient drug or alcohol treatment, service providers whose sole source of applicable Federal funds is Medicare or Medicaid, or facilities where WIC coupons are redeemed.

Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 for each violation and/or the imposition of an administrative compliance order on the responsible entity.

By signing the certification, the undersigned certifies that the contracting organization will comply with the requirements of the Act and will not allow smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act.

The contracting organization agrees that it will require that the language of this certification be included in any subcontracts which contain provisions for children's services and that all sub-recipients shall certify accordingly.

**The Public Health Services strongly encourages all recipients to provide a smoke-free workplace and promote the non-use of tobacco products. This is consistent with the PHS mission to protect and advance the physical and mental health of the American people.**

**6. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS INSTRUCTIONS FOR CERTIFICATION**

- 1) By signing and submitting this proposal, the prospective contractor is providing the certification set out below.
- 2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective contractor shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective contractor to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- 3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective contractor knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.
- 4) The prospective contractor shall provide immediate written notice to the department or agency to whom this contract is submitted if at any time the prospective contractor learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- 5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause,

have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the person to whom this contract is submitted for assistance in obtaining a copy of those regulations.

- 6) The prospective contractor agrees by submitting this contract that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by Authority.
- 7) The prospective contractor further agrees by submitting this contract that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transaction," provided by HHS, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- 8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List (of excluded parties).
- 9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- 10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, Authority may terminate this transaction for cause or default.

**7. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS**

- 1) The prospective contractor certifies to the best of its knowledge and belief, that it and its principals:
  - a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
  - b) Have not within a three-year period preceding this contract been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a

public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

- c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - d) Have not within a three-year period preceding this contract had one or more public transactions (Federal, State or local) terminated for cause or default.
- 2) Where the prospective contractor is unable to certify to any of the statements in this certification, such prospective contractor shall attach an explanation to this proposal.

**CONTRACTOR SIGNATURE REQUIRED**

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
Please also print or type name:	
ORGANIZATION NAME: (if applicable)	DATE

Attachment 2

**Federal Funding Accountability and Transparency Act (FFATA) Data Collection Form**

This Contract is supported by federal funds that require compliance with the Federal Funding Accountability and Transparency Act (FFATA or the Transparency Act). The purpose of the Transparency Act is to make information available online so the public can see how federal funds are spent.

To comply with the act and be eligible to enter into this contract, your organization must have a Data Universal Numbering System (DUNS®) number. A DUNS® number provides a method to verify data about your organization. If you do not already have one, you may receive a DUNS® number free of charge by contacting Dun and Bradstreet at [www.dnb.com](http://www.dnb.com).

Required Information about your organization and this contract will be made available on USASpending.gov by the Washington State Health Care Authority (HCA) as required by P.L. 109-282. As a tool to provide the information, HCA encourages registration with the Central Contractor Registry (CCR) because less data entry and re-entry is required by both HCA and your organization. You may register with CCR on-line at <https://www.uscontractorregistration.com/>.

*Contractor must complete this form and return it to the Health Care Authority (HCA).*

**CONTRACTOR**

1. Legal Name	2. DUNS Number												
3. Principle Place of Performance	3a. Congressional District												
3b. City	3c. State												
3d. Zip+4	3e. Country												
4. Are you registered in CCR ( <a href="https://www.uscontractorregistration.com/">https://www.uscontractorregistration.com/</a> )? <input type="checkbox"/> YES (skip to page 2. Sign, date and return) <input type="checkbox"/> NO													
<p>5. In the preceding fiscal year did your organization:</p> <ul style="list-style-type: none"> <li>a. Receive 80% or more of annual gross revenue from federal contracts, subcontracts, grants, loans, subgrants, and/or cooperative agreements; <b>and</b></li> <li>b. \$25,000,000 or more in annual gross revenues from federal contracts, subcontracts, grants, loans, subgrants, and/or cooperative agreements; <b>and</b></li> <li>c. The public does not have access to information about the compensation of the executives through periodic reports filled with the IRS or the Security and Exchange Commission per 2 CFR Part 170.330</li> </ul> <p><input type="checkbox"/> NO (skip the remainder of this section - Sign, date and return)</p> <p><input type="checkbox"/> YES (You must report the names and total compensation of the top 5 highly compensated officials of your organization).</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 70%;">Name Of Official</th> <th style="width: 30%;">Total Compensation</th> </tr> </thead> <tbody> <tr><td>1.</td><td></td></tr> <tr><td>2.</td><td></td></tr> <tr><td>3.</td><td></td></tr> <tr><td>4.</td><td></td></tr> <tr><td>5.</td><td></td></tr> </tbody> </table>		Name Of Official	Total Compensation	1.		2.		3.		4.		5.	
Name Of Official	Total Compensation												
1.													
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<p><b>Note:</b> "Total compensation" means the cash and noncash dollar value earned by the executive during the sub-recipient's past fiscal year of the following (for more information see 17 CFR 229.402 (c)(2)).</p>													

By signing this document, the Contractor Authorized Representative attests to the information.

Signature of Contractor Authorized Representative	Date
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*HCA will not endorse the Contractor's subaward until this form is completed and returned.*

**FOR HEALTH CARE AUTHORITY USE ONLY**

HCA Contract Number: _____
Sub-award Project Description (see instructions and examples below)

**Instructions for Sub-award Project Description:**

In the first line of the description provide a title for the sub-award that captures the main purpose of the subrecipients work. Then, indicate the name of the subrecipient and provide a brief description that captures the overall purpose of the sub-award, how the funds will be used, and what will be accomplished.

**Example of a Sub-award Project Description:**

Increase Healthy Behaviors: Educational Services District XYZ will provide training and technical assistance to chemical dependency centers to assist the centers to integrate tobacco use into their existing addiction treatment programs. Funds will also be used to assist centers in creating tobacco free treatment environments.