

## INTERAGENCY COOPERATION CONTRACT

### DEPARTMENT OF STATE HEALTH SERVICES

CONTRACT NO. HHS000123500001

THE DEPARTMENT OF STATE HEALTH SERVICES (“Receiving Agency” or “System Agency”) and TEXAS A&M UNIVERSITY, State Agency Number 711 (“Performing Agency”), each a “Party” and collectively the “Parties,” enter into the following contract for perform data collection, data entry, data file production, and human subjects training for the Texas Pregnancy Risk Assessment Monitoring System (“PRAMS”) (the “Contract”) pursuant to the provisions of “The Interagency Cooperation Act,” Chapter 771 of the Texas Government Code.

### ARTICLE 1. CONTRACT REPRESENTATIVES

The following will act as the Representative authorized to act on behalf of their respective Party.

#### Performing Agency

Name: Texas A&M University

Address: Office of Sponsored Research

400 Harvey Mitchell Pkwy South, Suite 300

City and Zip: College Station 77845-4375

Contact Person: David Hollingsworth

Telephone: 979-862-6777

Fax number: 979-862-3250

E-Mail Address: [awards@tamus.edu](mailto:awards@tamus.edu)

Agency Number: 711

#### Receiving Agency

Name: Department of State Health Services

Address: 1100 W. 49<sup>th</sup> St.

City and Zip: Austin 78756

Contact Person: Jason Adams

Telephone: 512-776-2109

Fax number: 512-776-7391

E-Mail Address: [jason.adams@dshs.texas.gov](mailto:jason.adams@dshs.texas.gov)

Agency Number: 537

### ARTICLE 2. STATEMENT OF SERVICES TO BE PROVIDED

The Parties agree to cooperate to provide necessary and authorized services and resources in accordance with the terms of this Contract as described in **Attachment A – Statement of Work**.

### ARTICLE 3. CONTRACT PERIOD AND RENEWAL

This Contract is effective on **May 1, 2018**, and terminates on **July 31, 2019**, unless renewed, extended, or terminated pursuant to the terms and conditions of the Contract. The System Agency, at its own discretion, may extend this Contract subject to terms and conditions mutually agreeable to both Parties.

**ARTICLE 4. AMENDMENT**

The Parties to this Contract may modify this contract only through the execution of a written amendment signed by both parties.

**ARTICLE 5. CONTRACT AMOUNT AND PAYMENT FOR SERVICES**

The total amount of this Contract will not exceed **THREE HUNDRED SEVENTY-EIGHT THOUSAND THIRTY-FIVE DOLLARS (\$378,035.00)**. All expenditures under the Contract will be in accordance with **ATTACHMENT B - BUDGET**.

**ARTICLE 6. BASIS FOR CALCULATING REIMBURSABLE COSTS**

The Performing Agency will be reimbursed by HHSC for services provided in accordance with Texas Government Code §771.007 and as set forth in Attachment B – Budget.

**ARTICLE 7. LEGAL NOTICES**

Legal Notices under this Contract shall be deemed delivered when deposited either in the United States mail, postage paid, certified, return receipt requested; or with a common carrier, overnight, signature required, to the appropriate address below:

**System Agency**

Department of State Health Services  
1100 W. 49<sup>th</sup> Street, MC1911  
Austin, Texas 78756  
Attention: General Counsel

**Performing Agency**

Texas A&M University  
400 Harvey Mitchell Pkwy South, Suite 300  
College Station, Texas 77845-4375  
Attention: David Hollingsworth, Director, Contracts and Grants

Notice given in any other manner shall be deemed effective only if and when received by the Party to be notified. Either Party may change its address for receiving legal notice by notifying the other Party in writing.

**ARTICLE 8. CERTIFICATIONS**

The undersigned Parties certify that:

- A. The services specified above are necessary and essential for activities that are properly within the statutory functions and programs of the affected agencies of state government;
- B. Each Party executing this Contract on its behalf has full power and authority to enter into this Contract;

- C. The proposed arrangements serve the interest of efficient and economical administration of state government; and
- D. The services contracted for are not required by Section 21, Article XVI of the Constitution of Texas to be supplied under a contract awarded to the lowest responsible bidder.

The Receiving Agency further certifies that it has statutory authority to contract for the services described in this contract under Texas Health and Safety Code Chapters 12 and 1001 and Texas Government Code Chapter 531, Subchapter D.

The Performing Agency further certifies that it has statutory authority to contract for the services described in this contract under Texas Education Code Chapter 65.

**SIGNATURE PAGE FOLLOWS**

**SIGNATURE PAGE FOR SYSTEM AGENCY CONTRACT NO. HHS000123500001**

**RECEIVING AGENCY**

**PERFORMING AGENCY**

DocuSigned by:  
*Manda Hall, M.D.*  
202CEA5A9C164E2...  
\_\_\_\_\_  
Signature

DocuSigned by:  
*David Hollingsworth*  
9E26299A9610461...  
\_\_\_\_\_  
Signature

\_\_\_\_\_  
Manda Hall, M.D.

\_\_\_\_\_  
David Hollingsworth

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Associate Commissioner, Community  
Health Improvement

\_\_\_\_\_  
Title

\_\_\_\_\_  
April 27, 2018

\_\_\_\_\_  
April 27, 2018

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

**THE FOLLOWING ATTACHMENTS TO SYSTEM AGENCY CONTRACT NO. HHS000123500001 ARE HEREBY INCORPORATED BY REFERENCE:**

- ATTACHMENT A -- STATEMENT OF WORK**
- ATTACHMENT B -- BUDGET**
- ATTACHMENT C -- UNIFORM TERMS AND CONDITIONS**
- ATTACHMENT D -- TAMU SYSTEM SUPPLEMENTAL AND SPECIAL CONDITIONS**
- ATTACHMENT E -- FEDERAL ASSURANCES AND CERTIFICATIONS**
- ATTACHMENT F -- FFATA**

**ATTACHMENTS FOLLOW**

**ATTACHMENT A**  
**STATEMENT OF WORK**

**I. PERFORMING AGENCY AND SYSTEM AGENCY RESPONSIBILITIES**

**1. Data Collection**

- A. System Agency will provide a list of sample members (mothers who have recently given birth) to Performing Agency. This list contains data (i.e., mother's name, address, date of birth, child's name, child's date of birth, and other maternal and child specific data elements) to be used for both the mail, web and phone phase of the Texas Pregnancy Risk Assessment Monitoring System (PRAMS). Performing Agency shall utilize this list for mailing surveys and conducting telephone interviews.
  
- B. Performing Agency shall standardize all delivery addresses used for mailing and append the "plus four" extension to the zip code. Performing Agency shall update addresses in the PRAMS Integrated Data Collection System (PIDS).
  
- C. When the Performing Agency interviewer encounters an answering machine, a message tailored for each encounter with an answering machine shall be left on the answering machine of the phone number called.
  
- D. Performing Agency shall be responsible for mailing the Preletter, Mail-1, Tickler, Mail-2, Mail-3 and the three (3) alternate mailings consistent with the data collection schedule established by the System Agency and the Centers for Disease Control and Prevention (CDC) PRAMS. Performing Agency shall mail within three (3) days (plus or minus) of the scheduled mailing, and any deviation from the three (3) days shall be communicated to the System Agency.
  
- E. Performing Agency shall provide the System Agency with samples of all materials to be used for mailing. Performing Agency shall provide the System Agency with samples of each letter (Preletter, Mail- 1, Tickler, Mail-2, and Mail-3) prior to the first batch mailing that includes the web address if the sampled mother prefers to complete the survey on the web instead of the printed survey booklet.
  
- F. Performing Agency shall be responsible for the printing of all materials (i.e., letterhead, incentive request cards, surveys, and envelopes) used in the mail phase and all postage costs (both outgoing and incoming). Performing Agency shall provide PDF's of the all documents prior to submitting to

the printer for System Agency review and approval. Performing Agency shall also provide production proofs from the printer to the System Agency for review and approval.

- G. Performing Agency shall be responsible for the purchase of incentives (i.e., forehead thermometers, store gift cards, and flower pins).
- H. Performing Agency shall provide a toll-free 1-800 number for sampled mothers to call and leave messages (the calls can address such questions as postage, the survey, why they were sampled, requests for phone interviews during mail data collection, etc.). The toll-free 1- 800 number shall provide a recording in English and Spanish if the inbound calls are not picked up by an English or Spanish speaking contact.
- I. Performing Agency shall conduct training for all interviewers hired for the PRAMS project prior to the commencement of telephone interviewing. Interviewers working on this survey shall be female (per the CDC PRAMS requirement). Performing Agency shall provide bilingual Spanish-English speaking interviewers to conduct telephone survey interviews in Spanish when necessary, using the Spanish translated version of the questionnaire provided by CDC PRAMS and the System Agency.
- J. Surveys that have been completed and mailed to Performing Agency shall be logged into the CDC system so that the sample member is not contacted again. Performing Agency shall funnel any sample member with a less than 75% completed survey to data collection at phone phase.
- K. Performing Agency shall make up to fifteen (15) call attempts for each phone number provided before ceasing call attempts for that sample member. At least two (2) different weekday mornings shall be attempted, at least two (2) different weekday afternoons shall be attempted, at least two (2) different weekday evenings shall be attempted; for both weekend days (Saturday and Sunday), mornings, afternoons, and evenings are attempted. There shall be fewer than fifteen (15) calls to a phone number when a call results in a “terminating” outcome (e.g., sample member refused even after refusal conversion is attempted, language barrier, mentally incapacitated, deceased sample member, adoptive mother).
- L. Performing Agency shall develop a system for interviewers to schedule callback appointments at a specified time. This system shall also allow for callback appointments to finish partially completed interviews.
- M. Performing Agency shall record the results of each call made to the mother (sample member) phone number using the CDC Call Attempts

Worksheet with specific call disposition codes for each call made.

- N. Performing Agency shall conduct refusal conversions for those soft refusals. Soft refusals are given between two (2) to three (3) days before they are called again. Performing Agency shall utilize a different interviewer, supervisor, or experienced trained interviewer to conduct soft refusal conversions. Those sample members declining participation in the study (hard refusals) will not be converted.
  
- O. System Agency will provide the interviewers with the CDC PRAMS approved standard introductory script that is used to verify that the interviewer is speaking to the correct mother (sample member) and to introduce the sample member to the PRAMS project. Performing Agency shall read each introduction verbatim to the sample member. Performing Agency interviewers shall read each question and response on the CDC PRAMS approved telephone survey verbatim, and the interviewers shall not alter the content or meaning of questions or response option. Any changes in wording, layout, or skip patterns shall be provided to System Agency for review and approval by CDC PRAMS.
  
- P. Performing Agency shall supervise and monitor all interviewers conducting telephone interviews.  
Performing Agency shall regularly monitor telephone interviewers to ensure that proper procedures are followed. Performing Agency shall determine whether the interviewer is appropriately consenting women, administering the interviews, protecting the mother's confidentiality, and keeping data collection forms secure. Interviewers shall receive regular feedback on their performance, and if problems are identified, remedial action shall be taken immediately. Performing Agency shall monitor a variety of calls/contacts. This includes not only actual interviews, but also interactions with mothers that do not result in interviews (mother is busy, mother refuses, etc.) and interactions with other household members. Performing Agency shall monitor at least ten (10) percent of the time that they are placing telephone calls.

## **2. DATA ENTRY**

- A. Survey data collected from the mail phase shall be entered into the data entry system specified by CDC PRAMS. Performing Agency shall record comments from "other specify" questions, back page comments, and any additional comments verbatim in the data entry fields.
  
- B. Performing Agency shall verify a minimum of 10% of the English surveys

and 10% of the Spanish surveys. Data entry and verification shall be tailored to the specification of the survey. Any data entry errors shall be reviewed with the key entry staff to insure continued valid data entry.

### **3. DATA FILE PRODUCTION**

- A. After ten (10) days upon completion of data collection for each batch, Performing Agency shall submit documentation of CDC PRAMS submission of operations and survey data to the System Agency. Performing Agency shall be responsible for correcting any errors in files prior to and after submitting a batch to CDC PRAMS.
- B. Performing Agency shall provide one (1) interim pilot survey data file to the System Agency after six (6) batches have been completed and one (1) final pilot survey data file to the System Agency after twelve (12) batches have been completed.

### **4. HUMAN SUBJECTS TRAINING**

- A. All Performing Agency staff involved in interviewing, data entry, phone number lookups and data management and collection shall complete Module 1 through Module 4 Annual Human Subjects Training which is designed as a self-paced tool.
- B. Performing Agency shall provide documentation that all relevant staff have reviewed Modules 1-4 and shall arrange time for the staff to review Module 4 with System Agency via conference call or meeting.
- C. System Agency will provide a Reporting Form for Unusual/Unforeseen Events involving sample members. Performing Agency shall complete a report for each unusual/unforeseen event that occurs (e.g., mother is in jail, deceased infant, deceased mother, referral to resources, abuse to a minor, emotional distress during the telephone interview) to the System Agency.

## **I. PERFORMANCE MEASURES**

System Agency will monitor Performing Agency's performance of the requirements in this Attachment A and compliance with the Contract's terms and conditions.

## **II. INVOICE AND PAYMENT**

- A. Performing Agency will request payments using the State of Texas Purchase Voucher (Form B-13) at <http://www.dshs.texas.gov/grants/forms.shtm>. Voucher and any



supporting documentation will be mailed or submitted by fax or electronic mail to the address/number below.

Department of State Health Services  
Claims Processing Unit, MC 1940  
1100 West 49<sup>th</sup> Street  
P.O. Box 149347  
Austin, TX 78714-9347  
FAX: (512) 458-7442  
EMAIL: [invoices@dshs.texas.gov](mailto:invoices@dshs.texas.gov)

- B. Performing Agency will be paid on a per batch basis and in accordance with the Budget in Attachment B of this Contract.

**ATTACHMENT B: BUDGET**

<b>Price Schedule for the Period Beginning May 1, 2018 through July 31, 2019</b>		
<b>Deliverable</b>	<b>Scheduled Date</b>	<b>Amount</b>
Documentation of attendance at deliverable review meeting	5/31/2018	\$18,035.00
Batch 189	8/31/2018	\$30,000.00
Batch 190	9/30/2018	\$30,000.00
Batch 191	10/31/2018	\$30,000.00
Batch 192	11/30/2018	\$30,000.00
Batch 193	12/31/2018	\$30,000.00
Batch 194	1/31/2019	\$30,000.00
Batch 195	2/28/2019	\$30,000.00
Batch 196	3/31/2019	\$30,000.00
Batch 197	4/30/2019	\$30,000.00
Batch 198	5/31/2019	\$30,000.00
Batch 199	6/30/2019	\$30,000.00
Batch 200	7/31/2019	\$30,000.00
	<b>Total</b>	<b>\$378,035.00</b>

HHSC Uniform Terms and Conditions Version 2.14  
Published and Effective: September 1, 2017  
Responsible Office: Chief Counsel



**Health and Human Services Commission**  
**HHSC Uniform Terms and Conditions -**  
**Local Governmental Body**  
**Version 2.14**

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## ARTICLE I DEFINITIONS AND INTERPRETIVE PROVISIONS

### 1.01 Definitions

As used in this Contract, unless the context clearly indicates otherwise or defined in the Signature Document, the following terms and conditions have the meanings assigned below:

“Amendment” means a written agreement, signed by the parties hereto, which documents changes to the Contract other than those permitted by Technical Guidance Letters, as herein defined.

“Attachment” means documents, terms, conditions, or additional information physically added to this Contract following the execution page or included by reference, as if physically, within the body of this Contract.

“Contract” means the Signature Document, these Uniform Terms and Conditions, along with any Attachments, and any Amendments, purchase orders, or Technical Guidance Letters that may be issued by the System Agency, to be incorporated by reference herein for all purposes if issued.

“Deliverables” means any item, report, data, document, photograph, or other submission required to be delivered under the terms of this Contract, in whatever form.

“Effective Date” means the date agreed to by the Parties as the date on which the Contract takes effect.

“Federal Assurances” means Standard Form 424B (Rev. 7-97), as prescribed by OMB Circular A-102 (non-construction projects); or Standard Form 424D (Rev. 7-97), as prescribed by OMB Circular A-102 (construction projects).

“Federal Certifications” means U.S. Department of Commerce Form CD-512 (12-04), “Certifications Regarding Lobbying – Lower Tier Covered Transactions.”

“Federal Fiscal Year” means the period beginning October 1 and ending September 30 each year, which is the annual accounting period for the United States government.

“GAAP” means Generally Accepted Accounting Principles.

“GASB” means the Governmental Accounting Standards Board.

“Health and Human Services Commission” or “HHS” means the administrative agency established under Chapter 531, Texas Government Code or its designee.

“Intellectual Property” means patents, rights to apply for patents, trademarks, trade names, service marks, domain names, copyrights and all applications and worldwide registration of such, schematics, industrial models, inventions, know-how, trade secrets, computer software programs, and other intangible proprietary information.

“Local Government” means the Party to this Contract that meets the definition of this term under Tex. Gov’t Code § 791.003(4).

“Parties” means the System Agency and Local Government, collectively.

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“Party” means either the System Agency or Performing Agency, individually.

“Project” means the goods and/or Services described in the Signature Document or an Attachment to this Contract.

“Public Information Act” or “PIA” means Chapter 552 of the Texas Government Code.

“Services” means the tasks, functions, and responsibilities assigned and delegated to Local Government under the Contract.

“Signature Document” means the document executed by both Parties that specifically sets forth all of the documents that constitute the Contract.

“System Agency” means HHSC or any of the agencies of the State of Texas that are overseen by HHSC under authority granted under State law and the officers, employees, and designees of those agencies. These agencies include: HHSC and the Department of State Health Services.

“State Fiscal Year” means the period beginning September 1 and ending August 31 each year, which is the annual accounting period for the State of Texas.

“State of Texas Textravel” means Texas Administrative Code, Title 34, Part 1, Chapter 5, Subchapter C, Section 5.22, relative to travel reimbursements under this Contract, if any.

“Subcontractor” means an individual or business that performs part or all of the obligations of Local Government under this Contract.

“Technical Guidance Letter” or “TGL” means an instruction, clarification, or interpretation of the requirements of the Contract, issued by the System Agency to the Local Government.

“Work” means all Services to be performed, goods to be delivered, and any appurtenant actions performed and items produced, conceived, or developed, including Deliverables.

**1.02 Interpretive Provisions**

- A. The meanings of defined terms are equally applicable to the singular and plural forms of the defined terms.
- B. The words “hereof,” “herein,” “hereunder,” and similar words refer to this Contract as a whole and not to any particular provision, section, Attachment, or schedule of this Contract unless otherwise specified.
- C. The term “including” is not limiting and means “including without limitation” and, unless otherwise expressly provided in this Contract, (i) references to contracts (including this Contract) and other contractual instruments shall be deemed to include all subsequent Amendments and other modifications thereto, but only to the extent that such Amendments and other modifications are not prohibited by the terms of this Contract, and (ii) references to any statute or regulation are to be construed as including all statutory and regulatory provisions consolidating, amending, replacing, supplementing, or interpreting the statute or regulation.
- D. Any references to “sections,” “appendices,” or “attachments” are references to sections, appendices, or attachments of the Contract.
- E. Any references to agreements, contracts, statutes, or administrative rules or regulations in the Contract are references to these documents as amended, modified, or supplemented from time to time during the term of the Contract.

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- F. The captions and headings of this Contract are for convenience of reference only and shall not affect the interpretation of this Contract.
- G. All Attachments within this Contract, including those incorporated by reference, and any Amendments are considered part of the terms of this Contract.
- H. This Contract may use several different limitations, regulations, or policies to regulate the same or similar matters. All such limitations, regulations, and policies are cumulative and each shall be performed in accordance with its terms.
- I. Unless otherwise expressly provided, reference to any action of the System Agency or by the System Agency by way of consent, approval, or waiver shall be deemed modified by the phrase "in its sole discretion."
- J. Time is of the essence in this Contract.

## ARTICLE II CONSIDERATION

### 2.01 Expenses

Except as otherwise provided in the Contract, no ancillary expenses incurred by the Local Government in connection with its provision of the Services or Deliverables will be reimbursed by the System Agency. Ancillary expenses include, but are not limited to costs associated with transportation, delivery, and insurance for each Deliverable.

When the reimbursement of travel expenses is authorized by the Contract, all such expenses shall be reimbursed in accordance with the rates set by the State of Texas *Textravel*.

### 2.02 Funding

- A. This Contract shall not be construed as creating any debt on behalf of the State of Texas or the System Agency in violation of Article III, Section 49, of the Texas Constitution. In compliance with Article VIII, Section 6 of the Texas Constitution, it is understood that all obligations of the System Agency hereunder are subject to the availability of state funds. If such funds are not appropriated or become unavailable, this Contract may be terminated. In that event, the Parties shall be discharged from further obligations, subject to the equitable settlement of their respective interests, accrued up to the date of termination.
- B. Furthermore, any claim by Local Government for damages under this Contract may not exceed the amount of funds appropriated for payment, but not yet paid to Local Government, under the annual budget in effect at the time of the breach. Nothing in this provision shall be construed as a waiver of sovereign immunity.
- C. This Contract is contingent upon the availability of sufficient and adequate funds. If funds become unavailable through lack of appropriations, budget cuts, transfer of funds between programs or agencies, amendment of the Texas General Appropriations Act, agency consolidation, or any other disruptions of current funding for this Contract, the System Agency may restrict, reduce, or terminate funding under this Contract. This Contract is also subject to immediate cancellation or termination, without penalty to the System Agency, if sufficient and adequate funds are not available. Contractor will have no right of action against the System Agency if the

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System Agency cannot perform its obligations under this Contract as a result of lack of funding for any activities or functions contained within the scope of this Contract. In the event of cancellation or termination under this Section, the System Agency shall not be required to give notice and shall not be liable for any damages or losses caused or associated with such termination or cancellation.

### ARTICLE III WARRANTY, AFFIRMATIONS, ASSURANCES AND CERTIFICATIONS

#### 3.01 Federal Assurances

Local Government further certifies that, to the extent Federal Assurances are incorporated into the Contract under the Signature Document, the Federal Assurances have been reviewed and that Local Government is in compliance with each of the requirements reflected therein.

#### 3.02 Federal Certifications

Local Government further certifies, to the extent Federal Certifications are incorporated into the Contract under the Signature Document, that the Federal Certifications have been reviewed, and that Local Government is in compliance with each of the requirements reflected therein. In addition, Local Government certifies that it is in compliance with all applicable federal laws, rules, or regulations, as they may pertain to this Contract.

### ARTICLE IV INTELLECTUAL PROPERTY

#### 4.01 Intellectual Property

- A. To the extent any Work results in the creation of Intellectual Property, all right, title, and interest in and to such Intellectual Property shall vest in the System Agency upon creation and shall be deemed to be a “work made for hire” and made in the course of the services rendered pursuant to this Contract.
- B. To the extent that title to any such Intellectual Property may not by law vest in the System Agency, or such Intellectual Property may not be considered a “work made for hire,” all rights, title, and interest therein are hereby irrevocably assigned to the System Agency. The System Agency shall have the right to obtain and to hold in its name any and all patents, copyrights, trademarks, service marks, registrations, or such other protection as may be appropriate to the subject matter, including extensions and renewals thereof.
- C. Local Government must give the System Agency and the State of Texas, as well as any person designated by the System Agency or the State of Texas, all assistance required to perfect the rights defined herein without any charge or expense beyond the stated amount payable to Local Government for the services authorized under this Contract.

### ARTICLE V RECORDS, AUDIT, AND DISCLOSURE

#### 5.01 Access to records, books, and documents

In addition to any right of access arising by operation of law, Local Government and any of Local Government’s affiliate or subsidiary organizations, or Subcontractors shall permit the System Agency or any of its duly authorized representatives, as well as duly authorized federal, state or local authorities, unrestricted access to and the right to examine any site where business is conducted or Services are performed, and all records, which includes but is not limited to financial, client and patient records, books, papers or documents related to this Contract. If the Contract includes federal funds, federal agencies that shall have a right of access to records as described in

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this section include: the federal agency providing the funds, the Comptroller General of the United States, the General Accounting Office, the Office of the Inspector General, and any of their authorized representatives. In addition, agencies of the State of Texas that shall have a right of access to records as described in this section include: the System Agency, HHSC, HHSC's contracted examiners, the State Auditor's Office, the Texas Attorney General's Office, and any successor agencies. Each of these entities may be a duly authorized authority. If deemed necessary by the System Agency or any duly authorized authority, for the purpose of investigation or hearing, Local Government shall produce original documents related to this Contract. The System Agency and any duly authorized authority shall have the right to audit billings both before and after payment, and all documentation that substantiates the billings. Local Government shall include this provision concerning the right of access to, and examination of, sites and information related to this Contract in any Subcontract it awards.

#### **5.02 Response/compliance with audit or inspection findings**

- A. At Local Government's sole expense, Local Government must take action to ensure its or a Subcontractor's compliance with a correction of any finding of noncompliance with any law, regulation, audit requirement, or generally accepted accounting principle relating to the Services and Deliverables or any other deficiency contained in any audit, review, or inspection conducted under the Contract. Whether Local Government's action corrects the noncompliance shall be solely the decision of the System Agency.
- B. As part of the Services, Local Government must provide to HHSC upon request a copy of those portions of Local Government's and its Subcontractors' internal audit reports relating to the Services and Deliverables provided to the State under the Contract.

#### **5.03 SAO Audit**

Local Government understands that acceptance of funds directly under the Contract or indirectly through a Subcontract under the Contract acts as acceptance of the authority of the State Auditor's Office (SAO), or any successor agency, to conduct an audit or investigation in connection with those funds. Under the direction of the legislative audit committee, an entity that is the subject of an audit or investigation by the SAO must provide the SAO with access to any information the SAO considers relevant to the investigation or audit. Local Government agrees to cooperate fully with the SAO or its successor in the conduct of the audit or investigation, including providing all records requested. Local Government will ensure that this clause concerning the authority to audit funds received indirectly by Subcontractors through Local Government and the requirement to cooperate is included in any Subcontract it awards.

#### **5.04 Recapture of Funds**

The System Agency may withhold all or part of any payments to Local Government to offset overpayments made to the Local Government. Overpayments as used in this Section include payments (i) made by the System Agency that exceed the maximum allowable rates; (ii) that are not allowed under applicable laws, rules, or regulations; or (iii) that are otherwise inconsistent with this Contract, including any unapproved expenditures. Local Government understands and agrees that it shall be liable to the System Agency for any costs disallowed pursuant to financial and compliance audit(s) of funds received under this Contract. Local Government further understands and agrees that reimbursement of such disallowed costs shall be paid by Local Government from funds which were not provided or otherwise made available to Local Government under this Contract.

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**5.05 Public Information and Confidentiality**

Information related to the performance of this Contract may be subject to the Public Information Act and will be withheld from public disclosure or released to the public only in accordance therewith. Local Government shall make any information required under the Public Information Act available to the System Agency in portable document file (“.pdf”) format or any other format agreed between the Parties.

To the extent permitted by law, Local Government and the System Agency agree to keep all information confidential, in whatever form produced, prepared, observed, or received by Local Government or the System Agency. The provisions of this section remain in full force and effect following termination or cessation of the services performed under this Contract.

**5.06 Data Security**

Each Party and its Subcontractors will maintain reasonable and appropriate administrative, physical, and technical safeguards to ensure the integrity and confidentiality of information exchanged in the performance of services pursuant to this Contract and protect against any reasonably anticipated threats or hazards to the security or integrity of the information and unauthorized use or disclosure of the information in accordance with applicable federal and state laws, rules, and regulations.

Upon notice, either Party will provide, or cause its subcontractors and agents to provide, the other Party or its designee prompt access to any information security records, books, documents, and papers that relate to services provided under this Contract.

**ARTICLE VI CONTRACT MANAGEMENT AND EARLY TERMINATION**

**6.01 Contract Management**

To ensure full performance of the Contract and compliance with applicable law, the System Agency may take actions including:

- A. suspending all or part of the Contract;
- B. requiring the Local Government to take specific corrective actions in order to remain in compliance with term of the Contract;
- C. recouping payments made to the Local Government found to be in error;
- D. suspending and/or limiting any services and placing conditions on any such suspensions and/or limitations of services;
- E. imposing any other remedies authorized under this Contract; and
- F. imposing any other remedies, sanctions or penalties permitted by federal or state statute, law, regulation, rule.

**6.02 Termination for Convenience**

The System Agency may terminate the Contract at any time when, in its sole discretion, the System Agency determines that termination is in the best interests of the State of Texas. The termination will be effective on the date specified in HHSC’s notice of termination.

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**6.03 Termination for Cause**

The System Agency will have the right to terminate the Contract in whole or in part if the System Agency determines, at its sole discretion, that Local Government has materially breached the Contract or has failed to adhere to any laws, ordinances, rules, regulations or orders of any public authority having jurisdiction and such violation prevents or substantially impairs performance of Local Government's duties under the Contract.

**6.04 Equitable Settlement**

Any early termination under this Article shall be subject to the equitable settlement of the respective interests of the Parties up to the date of termination.

**ARTICLE VII MISCELLANEOUS PROVISIONS**

**7.01 Technical Guidance Letters**

In the sole discretion of the System Agency, and in conformance with federal and state law, the System Agency may issue instructions, clarifications, or interpretations as may be required during Work performance in the form of a Technical Guidance Letter. A TGL must be in writing, and may be delivered by regular mail, electronic mail, or facsimile transmission. Any TGL issued by the System Agency shall be incorporated into the Contract by reference herein for all purposes when it is issued.

**7.02 Survivability**

All obligations and duties of the Local Government not fully performed as of the expiration or termination of this Contract will survive the expiration or termination of the Contract.

**7.03 No Waiver**

Neither failure to enforce any provision of this Contract nor payment for services provided under it constitute waiver of any provision of the Contract.

**7.04 Standard Terms and Conditions**

- A. In the performance of this Contract, each Party shall comply with all applicable federal, state, and local laws, ordinances, and regulations. Each Party shall make itself familiar with and at all times shall observe and comply with all federal, state, and local laws, ordinances, and regulations that in any manner affect performance under this Contract. Each Party will be deemed to have knowledge of all applicable laws and regulations and be deemed to understand them.
- B. All records relevant to this Contract shall be retained for a minimum of seven (7) years. The period of retention begins at the date of final payment by the System Agency, or from the date of termination of the Contract, whichever is later. The period of retention shall be extended for a period reasonably necessary to complete an audit or to complete any administrative proceeding or litigation that may ensue.
- C. The System Agency shall own, and Local Government hereby assigns to the System Agency, all right, title, and interest in all tangible Work.
- D. Local Government shall keep and maintain under GAAP or GASB, as applicable, full, true, and complete records necessary to fully disclose to the System Agency, the Texas

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State Auditor's Office, the United States Government, and/or their authorized representatives sufficient information to determine compliance with the terms and conditions of this Contract and all state and federal rules, regulations, and statutes.

- E. This Contract and the rights and obligations of the Parties hereto shall be governed by, and construed according to, the laws of the State of Texas, exclusive of conflicts of law provisions. Venue of any suit brought under this Contract shall be in a court of competent jurisdiction in Travis County, Texas. Local Government irrevocably waives any objection, including any objection to personal jurisdiction or the laying of venue or based on the grounds of forum non conveniens, which it may now or hereafter have to the bringing of any action or proceeding in such jurisdiction in respect of this Contract or any document related hereto. **NOTHING IN THIS SECTION SHALL BE CONSTRUED AS A WAIVER OF SOVEREIGN IMMUNITY BY THE SYSTEM AGENCY.**
- F. If any provision contained in this Contract is held to be unenforceable by a court of law or equity, this Contract shall be construed as if such provision did not exist and the non-enforceability of such provision shall not be held to render any other provision or provisions of this Contract unenforceable.
- G. Except with respect to the obligation of payments under this Contract, if either of the Parties, after a good faith effort, is prevented from complying with any express or implied covenant of this Contract by reason of war; terrorism; rebellion; riots; strikes; acts of God; any valid order, rule, or regulation of governmental authority; or similar events that are beyond the control of the affected Party (collectively referred to as a "Force Majeure"), then, while so prevented, the affected Party's obligation to comply with such covenant shall be suspended, and the affected Party shall not be liable for damages for failure to comply with such covenant. In any such event, the Party claiming Force Majeure shall promptly notify the other Party of the Force Majeure event in writing and, if possible, such notice shall set forth the extent and duration thereof. The Party claiming Force Majeure shall exercise due diligence to prevent, eliminate, or overcome such Force Majeure event where it is possible to do so and shall resume performance at the earliest possible date. However, if non-performance continues for more than thirty (30) days, the System Agency may terminate this Contract immediately upon written notification to Local Government.
- H. This Contract, its integrated Attachment(s), and any purchase order issued in conjunction with this Contract constitute the entire agreement of the Parties and are intended as a complete and exclusive statement of the promises, representations, negotiations, discussions, and other agreements that may have been made in connection with the subject matter hereof. Any additional or conflicting terms in such Attachment(s) and/or purchase order shall be harmonized with this Contract to the extent possible. Unless such integrated Attachment or purchase order specifically displays a mutual intent to amend a particular part of this Contract, general conflicts in language shall be construed consistently with the terms of this Contract.

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- I. Neither party shall assign or subcontract the whole nor any part of the contract, including any right or duty required under it, without the other party's prior written consent. Any assignment made contrary to this shall be void.
- J. This Contract may be executed in any number of counterparts, each of which shall be an original, and all such counterparts shall together constitute but one and the same Contract. If the Contract is not executed by the System Agency within thirty (30) days of execution by the other Party, this Contract shall be null and void.
- K. Pursuant to Chapter 2259 of the Texas Government Code entitled, "Self-Insurance by Governmental Units," Each Party is self-insured and, therefore, is not required to purchase insurance.

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**ATTACHMENT D**  
**SUPPLEMENTAL AND SPECIAL CONDITIONS**  
**TEXAS A&M SUPPLEMENTAL CONDITIONS**

**The Uniform Terms and Conditions, State Governmental Body, Version 2.14, Attachment C of this Contract, are revised as follows:**

**A. The last sentence of Section 2.02(B), Funding, is revised to read as follows:**

Nothing in this provision shall be construed as a waiver of sovereign immunity by either Party.

**B. The fourth sentence of Section 2.02(c), Funding, is revised to read as follows:**

Performing Agency will have no right of action against the System Agency if the System Agency cannot perform its obligations under this Contract as a result of lack of funding for any activities or functions.

**C. Section 4.01, Intellectual Property, is deleted in its entirety and replaced with the following:**

**4.1 Intellectual Property and Publication**

- A. To the extent any Work results in the creation of Intellectual Property, all rights, title, and interest in and to such Intellectual Property shall vest in the Party that creates such Intellectual Property, notwithstanding System Agency's rights under Texas Health and Safety Code Section 12.20, as applicable.
- B. Performing Agency agrees to grant to the System Agency and the State of Texas a royalty-free, paid up, worldwide, perpetual, non-exclusive, non-transferable, non-commercial license to use all Deliverables and any Intellectual Property invented or created by Performing Agency, Performing Agency's contractor, or a subcontractor in the performance of the Project. Performing Agency will require its contractors to grant such a license in any subcontracts under this Contract.
- C. The System Agency shall have the right to review and provide comment to any written report, publication or other literature including copyrightable Intellectual Property invented or created in the performance of this Contract, prior to the publication of such literature. Performing Agency agrees to provide the System Agency with an

advance copy of any such report, publication, or literature at least thirty (30) days prior to publication. Performing Agency agrees to insert the following statement into any such report, publication or literature: “The views expressed in this publication are those of the authors and do not necessarily reflect the official policies, positions, or views of the State of Texas or the Health and Human Services Commission.

**D. Section 5.01, Access to Records, Books, and Documents, is deleted in its entirety and replaced with the following:**

**5.01 Access to Records, Books, and Documents**

In addition to any right of access arising by operation of law, Performing Agency and any of Performing Agency’s affiliate or subsidiary organizations, or Subcontractors shall permit, during reasonable business hours, the System Agency or any of its duly authorized representatives, as well as duly authorized federal, state or local authorities, unrestricted access to and the right to examine any site where business is conducted or Services are performed, and all records, which includes but is not limited to financial, client and patient records, books, papers or documents related to this Contract. If the Contract includes federal funds, federal agencies that shall have a right of access to records as described in this section include: the federal agency providing the funds, the Comptroller General of the United States, the General Accounting Office, the Office of the Inspector General, and any of their authorized representatives. In addition, agencies of the State of Texas that shall have a right of access at reasonable business hours upon reasonable notice to records as described in this section include: the System Agency, HHSC, HHSC's contracted examiners, the State Auditor’s Office, the Texas Attorney General's Office, and any successor agencies. Each of these entities may be a duly authorized authority. If deemed necessary by the System Agency or any duly authorized authority, for the purpose of investigation or hearing, Performing Agency shall produce original documents (to the extent original documents are archived by the Performing Agency in accordance with federal or state law) related to this Contract. The System Agency and any duly authorized authority shall have the right to audit billings both before and after payment, and all documentation that substantiates the billings. Performing Agency shall include this provision concerning the right of access to, and examination of, sites and information related to this Contract in any Subcontract it awards.

**E. Section 5.05, Public Information and Confidentiality, is deleted in its entirety and replaced with the following:**

**Section 5.05 Public Information and Confidentiality**

Information related to the performance of this Contract may be subject to the Public Information Act and will be withheld from public disclosure or released to the

public only in accordance therewith. Performing Agency shall make any information required under the Public Information Act available to the System Agency in portable document file (".pdf") format or any other format agreed between the Parties.

Should the work under this Contract require the exchange of any confidential information, the parties agree to execute a separate nondisclosure or data use agreement to control the handling and protection of such information.

**F. Section 7.04(c), Standard Terms and Conditions, is deleted in its entirety and replaced with the following:**

C. The System Agency shall own, and Performing Agency hereby assigns to the System Agency, all right, title, and interest in all tangible Work. The foregoing shall only apply to the physical (tangible) versions of the Work; the allocation of rights to any Intellectual Property created in the performance of the Work is described in Section 4.01, above.

**G. Section 7.04(e), Standard Terms and Conditions, is deleted in its entirety and replaced with the following:**

E. This Contract and the rights and obligations of the Parties hereto shall be governed by, and construed according to, the laws of the State of Texas, exclusive of conflicts of law provisions. Venue of any suit brought under this Contract shall be in a court of competent jurisdiction. **NOTHING IN THIS SECTION SHALL BE CONSTRUED AS A WAIVER OF SOVEREIGN IMMUNITY BY THE SYSTEM AGENCY OR THE PERFORMING AGENCY.**

**H. Section 7.04(g) is deleted in its entirety and replaced with new article, Special Conditions, as follows below:**

**ARTICLE VIII SPECIAL CONDITIONS**

**Section 8.01 Force Majeure**

A. To the extent either Party experiences a circumstance, beyond its reasonable control, such as loss of key personnel, essential equipment, necessary research facilities, cost-share funding, or other essential resources that impedes its continued performance of obligations under this Contract, the Parties agree to negotiate in good faith to amend the Contract, up to and including termination of the Contract, as may be in the best interests of the Parties. In the event the Parties are unable



to agree, the Parties shall treat such circumstance or event as a Force Majeure event. If Performing Agency terminates the Contract pursuant to this Section, System Agency shall have a full right of access to all materials related to Contract performance maintained by Performing Agency.

- B. Except with respect to the obligation of payments under this Contract, if either of the Parties, after a good faith effort, is prevented from complying with any express or implied covenant of this Contract by reason of war; terrorism; rebellion; riots; strikes; acts of God; any valid order, rule, or regulation of governmental authority; or similar events, other than Termination for Convenience under Section 6.02 or Termination for Cause under Section 6.03, that are beyond the control of the affected Party (collectively referred to as a “Force Majeure”), then, while so prevented, the affected Party’s obligation to comply with such covenant will be suspended, and the affected Party will not be liable for damages for failure to comply with such covenant. To the extent the Force Majeure event is triggered by Section 8.01 (A), above, equitable settlement under Section 6.04 will apply. In any such event, the Party claiming Force Majeure will promptly notify the other Party of the Force Majeure event in writing and, if possible, such notice will set forth the extent and duration thereof.

**Section 8.02 Performing Agency’s Notification Of Change Of Contact Person Or Key Personnel**

The Performing Agency shall notify in writing their contract manager assigned within ten days of any change to the Performing Agency’s Contact Person or Key Personnel.

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