

STATE OF COLORADO CONTRACT

COVER PAGE

State Agency Department of Health Care Policy and Financing	Contract Number C24-188030		
Contractor Foothills Gateway, Inc.	Contract Performance Beginning Date The later of the Effective Date or March 1, 2024		
Contract Maximum Amount No Maximum for any SFY	Initial Contract Expiration Date June 30, 2024		
	Contract Authority Authority to enter into this Contract exists in C.R.S. §25.5-1-101, <i>et seq.</i> , C.R.S. and C.R.S. §25.5-6-1703, <i>et seq.</i>		
Contract Purpose For the Contractor to serve as a Case Management Agency to perform case management activities such as intake, screening, referral, disability determination, delay determination, waiting list management, Level of Care assessments, and needs assessment and administer three State General Fund programs within the Defined Service Area.			
Exhibits and Order of Precedence The following Exhibits and attachments are included with this Contract: <ol style="list-style-type: none"> 1. Exhibit A – HIPAA Business Associates Addendum 2. Exhibit B – Statement of Work 3. Exhibit C – Rates 4. Exhibit D – Terminology 5. Exhibit E – Contractor’s Administrative Requirements 6. Exhibit F – Sample Option Letter 7. Exhibit G – Federal Provisions 8. Exhibit H – PII Certification 9. Exhibit I – Supplemental Provisions for Federal Awards 10. Exhibit J – Subrecipient of Federal Award Status <p>In the event of a conflict or inconsistency between this Contract and any Exhibit or attachment, such conflict or inconsistency shall be resolved by reference to the documents in the following order of priority:</p> <ol style="list-style-type: none"> 1. Exhibit A, HIPAA Business Associates Addendum 2. Exhibit G, Federal Provisions 3. Exhibit I – Supplemental Provisions for Federal Awards 4. Colorado Special Provisions in §18 of the main body of this Contract 5. The provisions of the other sections of the main body of this Contract 6. Exhibit B, Statement of Work 7. Exhibit C, Terminology 8. Exhibit D, Contractor’s Administrative Requirements 9. Exhibit E, Rates 10. Exhibit H, PII Certification 11. Exhibit F, Sample Option Letter 12. Exhibit J – Subrecipient of Federal Award Status 			
Principal Representatives <table border="0"> <tr> <td> For the State: Sarah McDonnell Department of Health Care Policy and Financing 303 E. 17th Ave Denver, CO 80203 Sarah.McDonnell@state.co.us </td> <td> For Contractor: Erin Eulenfeld, Chief Executive Officer Foothills Gateway, Inc. 301 Skyway Drive Fort Collins, CO 80525 erine@foothillsgateway.org </td> </tr> </table>		For the State: Sarah McDonnell Department of Health Care Policy and Financing 303 E. 17 th Ave Denver, CO 80203 Sarah.McDonnell@state.co.us	For Contractor: Erin Eulenfeld, Chief Executive Officer Foothills Gateway, Inc. 301 Skyway Drive Fort Collins, CO 80525 erine@foothillsgateway.org
For the State: Sarah McDonnell Department of Health Care Policy and Financing 303 E. 17 th Ave Denver, CO 80203 Sarah.McDonnell@state.co.us	For Contractor: Erin Eulenfeld, Chief Executive Officer Foothills Gateway, Inc. 301 Skyway Drive Fort Collins, CO 80525 erine@foothillsgateway.org		

SIGNATURE PAGE

THE PARTIES HERETO HAVE EXECUTED THIS CONTRACT

Each person signing this Contract represents and warrants that he or she is duly authorized to execute this Contract and to bind the Party authorizing his or her signature.

<p>CONTRACTOR Erin Eulenfeld, Chief Executive Officer</p> <p>DocuSigned by: <i>Erin Eulenfeld</i></p> <p>By: _____ D532427C8DA44F2...</p> <p>Date: 1/24/2024 11:26 PST</p>	<p>STATE OF COLORADO Jared S. Polis, Governor Department of Health Care Policy and Financing Kim Bimestefer, Executive Director</p> <p>DocuSigned by: <i>KB</i></p> <p>By: _____ 0B6A84797EA8493...</p> <p>Date: 1/25/2024 06:47 PST</p>
	<p>LEGAL REVIEW Philip J. Weiser, Attorney General</p> <p>By: _____ N/A</p> <p>Date: _____</p>
<p>In accordance with §24-30-202, C.R.S., this Contract is not valid until signed and dated below by the State Controller or an authorized delegate.</p> <p>STATE CONTROLLER Robert Jaros, CPA, MBA, JD</p> <p>DocuSigned by: <i>Jerrod Cotosman</i></p> <p>By: _____ 76F69541272B43A...</p> <p>Effective Date: 1/25/2024 07:57 PST</p>	

TABLE OF CONTENTS

1.	PARTIES	2
2.	TERM AND EFFECTIVE DATE	2
3.	DEFINITIONS	3
4.	STATEMENT OF WORK	6
5.	PAYMENTS TO CONTRACTOR	6
6.	REPORTING - NOTIFICATION	7
7.	CONTRACTOR RECORDS	8
8.	CONFIDENTIAL INFORMATION-STATE RECORDS	9
9.	CONFLICTS OF INTEREST	10
10.	INSURANCE	11
11.	BREACH OF CONTRACT	13
12.	REMEDIES	13
13.	DISPUTE RESOLUTION	15
14.	NOTICES AND REPRESENTATIVES	15
15.	RIGHTS IN WORK PRODUCT AND OTHER INFORMATION	16
16.	GENERAL PROVISIONS	17
17.	COLORADO SPECIAL PROVISIONS (COLORADO FISCAL RULE 3-3)	21
	EXHIBIT A, HIPAA BUSINESS ASSOCIATES ADDENDUM	1
	EXHIBIT B, STATEMENT OF WORK	1
	EXHIBIT C, RATES	1
	EXHIBIT D, TERMINOLOGY	1
	EXHIBIT E, CONTRACTOR'S ADMINISTRATIVE REQUIREMENTS	1
	EXHIBIT F, SAMPLE OPTION LETTER	1
	EXHIBIT G, FEDERAL PROVISIONS	1
	EXHIBIT H, PII CERTIFICATION	1
	EXHIBIT I, SUPPLEMENTAL PROVISIONS FOR FEDERAL AWARDS	1
	EXHIBIT J, SUBRECIPIENT OF FEDERAL AWARD STATUS	1

1. PARTIES

This Contract is entered into by and between Contractor named on the Cover Page for this contract (the “Contractor”), and the STATE OF COLORADO acting by and through the State agency named on the Cover Page for this Contract (the “State,” the “Department,” or “HCPF”). Contractor and the State agree to the terms and conditions in this Contract.

2. TERM AND EFFECTIVE DATE

A. Effective Date

This Contract shall not be valid or enforceable until the Effective Date. The State shall not be bound by any provision of this Contract before the Effective Date and shall have no obligation to pay Contractor for any Work performed or expense incurred before the Effective Date or after the expiration or sooner termination of this Contract.

B. Initial Term

The Parties’ respective performances under this Contract shall commence on the Contract Performance Beginning Date shown on the Cover Page for this Contract and shall terminate on the Initial Contract Expiration Date shown on the Cover Page for this Contract (the “Initial Term”) unless sooner terminated or further extended in accordance with the terms of this Contract.

C. Extension Terms - State’s Option

The State, at its discretion, shall have the option to extend the performance under this Contract beyond the Initial Term for a period, or for successive periods, of one year or less at the same rates and under the same terms specified in the Contract (each such period an “Extension Term”). In order to exercise this option, the State shall provide written notice to Contractor in a form substantially equivalent to the Sample Option Letter attached to this Contract. Except as stated in §2.D, the total duration of this Contract, including the exercise of any options to extend, shall not exceed five years from its Effective Date absent prior approval from the Chief Procurement Officer in accordance with the Colorado Procurement Code.

D. End of Term Extension

If this Contract approaches the end of its Initial Term, or any Extension Term then in place, the State, at its discretion, upon written notice to Contractor as provided in §14, may unilaterally extend such Initial Term or Extension Term for a period not to exceed two months (an “End of Term Extension”), regardless of whether additional Extension Terms are available or not. The provisions of this Contract in effect when such notice is given shall remain in effect during the End of Term Extension. The End of Term Extension shall automatically terminate upon execution of a replacement contract or modification extending the total term of this Contract.

E. Early Termination in the Public Interest

The State is entering into this Contract to serve the public interest of the State of Colorado as determined by its Governor, General Assembly, or Courts. If this Contract ceases to further the public interest of the State, the State, in its discretion, may terminate this Contract in whole or in part. A determination that this Contract should be terminated in the public interest shall not be equivalent to a State right to terminate for convenience. This subsection shall not apply to a termination of this Contract by the State for Breach of Contract by Contractor,

which shall be governed by §11.

i. Method and Content

The State shall notify Contractor of such termination in accordance with §14. The notice shall specify the effective date of the termination and whether it affects all or a portion of this Contract, and shall include, to the extent practicable, the public interest justification for the termination.

ii. Obligations and Rights

Upon receipt of a termination notice for termination in the public interest, Contractor shall be subject to the rights and obligations set forth in §12.

iii. Payments

If the State terminates this Contract in the public interest, the State shall pay Contractor an amount equal to the percentage of the total reimbursement payable under this Contract that corresponds to the percentage of Work satisfactorily completed and accepted, as determined by the State, less payments previously made. Additionally, if this Contract is less than 60% completed, as determined by the State, the State may reimburse Contractor for a portion of actual out-of-pocket expenses, not otherwise reimbursed under this Contract, incurred by Contractor which are directly attributable to the uncompleted portion of Contractor's obligations, provided that the sum of any and all reimbursement shall not exceed the maximum amount payable to Contractor hereunder.

3. DEFINITIONS

The following terms shall be construed and interpreted as follows:

- A. **"Breach of Contract"** means the failure of a Party to perform any of its obligations in accordance with this Contract, in whole or in part or in a timely or satisfactory manner. The institution of proceedings under any bankruptcy, insolvency, reorganization or similar law, by or against Contractor, or the appointment of a receiver or similar officer for Contractor or any of its property, which is not vacated or fully stayed within 30 days after the institution of such proceeding, shall also constitute a breach. If Contractor is debarred or suspended under §24-109-105, C.R.S. at any time during the term of this Contract, then such debarment or suspension shall constitute a breach.
- B. **"Business Day"** means any day other than Saturday, Sunday, or a Legal Holiday as listed in §24-11-101(1), C.R.S.
- C. **"Chief Procurement Officer"** means the individual to whom the Executive Director has delegated his or her authority, pursuant to §24-102-202, C.R.S. to procure or supervise the procurement of all supplies and services needed by the State.
- D. **"Contract"** means this agreement, including all attached Exhibits, all documents incorporated by reference, all referenced statutes, rules and cited authorities, and any future modifications thereto.
- E. **"Contract Funds"** means the funds that have been appropriated, designated, encumbered, or otherwise made available for payment by the State under this Contract.
- F. **"Contractor Pre-Existing Material"** means material, code, methodology, concepts, process, systems, technique, trade or service marks, copyrights, or other intellectual property

developed, licensed or otherwise acquired by Contractor prior to the Effective Date of this Contract and independent of any services rendered under any other contract with the State.

- G. **“Colorado Open Records Act (CORA)”** means §24-72-200.1, *et seq.*, C.R.S.
- H. **“Deliverable”** means the outcome to be achieved or output to be provided, in the form of a tangible object or software that is produced as a result of Contractor’s Work that is intended to be delivered to the State by Contractor.
- I. **“Effective Date”** means the date on which this Contract is approved and signed by the Colorado State Controller or designee, as shown on the Signature Page for this Contract. If this Contract is for a Major Information Technology Project, as defined in §24-37.5-102(2.6), C.R.S., then the Effective Date of this Contract shall be the later of the date on which this Contract is approved and signed by the State’s Chief Information Officer or authorized delegate or the date on which this Contract is approved and signed by the State Controller or authorized delegate, as shown on the Signature Page for this Contract.
- J. **“End of Term Extension”** means the time period defined in **§2.D**
- K. **“Exhibits”** means the exhibits and attachments included with this Contract as shown on the Cover Page for this Contract.
- L. **“Extension Term”** means the time period defined in **§2.C**
- M. **“Federal Award”** means an award of Federal financial assistance or a cost-reimbursement contract, under the Federal Acquisition Regulations or by a formula or block grant, by a Federal Awarding Agency to the Recipient. “Federal Award” also means an agreement setting forth the terms of the Federal Award. The term does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program.
- N. **“Federal Award Agency”** means a Federal agency providing a Federal Award to a Recipient. United States Department of Health and Human Services (HHS) is the Federal Awarding Agency for the Federal Award which is the subject of this Contract.
- O. **“Goods”** means any movable material acquired, produced, or delivered by Contractor as set forth in this Contract and shall include any movable material acquired, produced, or delivered by Contractor in connection with the Services.
- P. **“Incident”** means any accidental or deliberate event that results in or constitutes an imminent threat of the unauthorized access, loss, disclosure, modification, disruption, or destruction of any communications or information resources of the State, which are included as part of the Work, as described in §24-37.5-401, *et seq.*, C.R.S. Incidents include, without limitation, (i) successful attempts to gain unauthorized access to a State system or State Records regardless of where such information is located; (ii) unwanted disruption or denial of service; (iii) the unauthorized use of a State system for the processing or storage of data; or (iv) changes to State system hardware, firmware, or software characteristics without the State’s knowledge, instruction, or consent.
- Q. **“Initial Term”** means the time period defined in **§2.B**
- R. **“Party”** means the State or Contractor, and “Parties” means both the State and Contractor.
- S. **“Personal Health Information (PHI)”** means any protected health information, including, without limitation any information whether oral or recorded in any form or medium: (i) that relates to the past, present, or future physical or mental condition of an individual; the provision of health care to an individual; or the past, present, or future payment for the

provision of health care to an individual; and **(ii)** that identifies the individual or with respect to which there is a reasonable basis to believe the information can be used to identify the individual. PHI includes, but is not limited to, any information defined as Individually Identifiable Health Information by the federal Health Insurance Portability and Accountability Act.

- T. **“Personally Identifiable Information (PII)”** means personally identifiable information including, without limitation, any information maintained by the State about an individual that can be used to distinguish or trace an individual’s identity, such as name, social security number, date and place of birth, mother’s maiden name, or biometric records; and any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information. PII includes, but is not limited to, all information defined as personally identifiable information in §§24-72-501 and 24-73-101, C.R.S. “PII” shall also mean “personal identifying information” as set forth at § 24-74-102, *et seq.*, C.R.S.
- U. **“Provider”** means any health care professional or entity that has been accepted as a provider in the Colorado Medicaid program, Colorado’s CHP+ program, or the Colorado Indigent Care Program, as determined by the Department.
- V. **“Recipient”** means the State agency shown on the Signature and Cover Page of this Contract, for the purpose of this Federal Award.
- W. **“Services”** means the services to be performed by Contractor as set forth in this Contract and shall include any services to be rendered by Contractor in connection with the Goods.
- X. **“State Confidential Information”** means any and all State Records not subject to disclosure under CORA. State Confidential Information shall include, but is not limited to, PII, PHI, PCI, Tax Information, CJI, and State personnel records not subject to disclosure under CORA. State Confidential Information shall not include information or data concerning individuals that is not deemed confidential but nevertheless belongs to the State, which has been communicated, furnished, or disclosed by the State to Contractor which (i) is subject to disclosure pursuant to CORA; (ii) is already known to Contractor without restrictions at the time of its disclosure to Contractor; (iii) is or subsequently becomes publicly available without breach of any obligation owed by Contractor to the State; (iv) is disclosed to Contractor, without confidentiality obligations, by a third party who has the right to disclose such information; or (v) was independently developed without reliance on any State Confidential Information.
- Y. **“State Fiscal Rules”** means the fiscal rules promulgated by the Colorado State Controller pursuant to §24-30-202(13)(a), C.R.S.
- Z. **“State Fiscal Year”** means a 12-month period beginning on July 1 of each calendar year and ending on June 30 of the following calendar year. If a single calendar year follows the term, then it means the State Fiscal Year ending in that calendar year.
- AA. **“State Records”** means any and all State data, information, and records, regardless of physical form, including, but not limited to, information subject to disclosure under CORA.
- BB. **“Subcontractor”** means any third party engaged by Contractor to aid in performance of the Work.
- CC. **“Subrecipient”** means a non-Federal entity that receives a sub-award from a Recipient to carry out part of a Federal program but does not include an individual that is a beneficiary of

such program. A Subrecipient may also be a recipient of other Federal Awards directly from a Federal Awarding Agency. For the purposes of this Contract, Contractor is a Subrecipient.

DD. **“Uniform Guidance”** means the Office of Management and Budget Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR Part 200, commonly known as the “Super Circular, which supersedes requirements from OMB Circulars A-21, A-87, A-110, A-122, A-89, A-102, and A-133, and the guidance in Circular A-50 on Single Audit Act follow-up.

EE. **“Work”** means the Goods delivered and Services performed pursuant to this Contract.

FF. **“Work Product”** means the tangible and intangible results of the Work, whether finished or unfinished, including drafts. Work Product includes, but is not limited to, documents, text, software (including source code), research, reports, proposals, specifications, plans, notes, studies, data, images, photographs, negatives, pictures, drawings, designs, models, surveys, maps, materials, ideas, concepts, know-how, and any other results of the Work. “Work Product” does not include any material that was developed prior to the Effective Date that is used, without modification, in the performance of the Work.

Any other term used in this Contract that is defined in an Exhibit shall be construed and interpreted as defined in that Exhibit, including the terminology in Exhibit D.

4. **STATEMENT OF WORK**

- A. Contractor shall complete the Work as described in this Contract and in accordance with the provisions of Exhibit B, and Exhibit E. The State shall have no liability to compensate Contractor for the delivery of any goods or the performance of any services that are not specifically set forth in this Contract.
- B. The State, at its discretion, shall have the option to increase or decrease the statewide quantity of Goods and Services based upon rates established in this Contract, and increase the maximum amount payable accordingly. In order to exercise this option, the State shall provide written notice to Contractor in a form substantially equivalent to the Sample Option Letter attached to this contract. Delivery of Goods and performance of Services shall continue at the same rates and terms as described in this Contract.

5. **PAYMENTS TO CONTRACTOR**

- A. Maximum Amount
- B. Payments to Contractor are limited to the payment described in Exhibit B, and are based in the quantity of services performed and the number of Members served by the Contractor. The State shall not pay Contractor any amount under this Contract that exceeds the Contract Maximum for that State Fiscal Year shown on the Cover Page for this Contract. Payment Procedures
 - i. Invoices and Payment
 - a. The State shall pay Contractor in the amounts and in accordance with the schedule and other conditions set forth in Exhibit B, Statement of Work and Exhibit C, Rates.
 - b. The State shall pay the Contractor for activities completed in accordance with the conditions set forth in Exhibit B, Statement of Work and Exhibit C, Rates within 45 days following the State’s review of activities completed for the previous month, so long as the documented activities correctly represents Work completed

by Contractor and previously accepted by the State during the term that the payment covers. If the State determines that the amount of any payment is not correct, then Contractor shall make all changes necessary to correct that payment.

- c. The processing of a payment shall not constitute acceptance of the completion of requirements or quality of any Work performed or Deliverables provided under this Contract.

- ii. Interest

Amounts not paid by the State within 45 days of the State's acceptance of the invoice shall bear interest on the unpaid balance beginning on the 45th day at the rate of 1% per month, as required by §24-30-202(24)(a), C.R.S., until paid in full; provided, however, that interest shall not accrue on unpaid amounts that the State disputes in writing. Contractor shall invoice the State separately for accrued interest on delinquent amounts, and the invoice shall reference the delinquent payment, the number of day's interest to be paid and the interest rate.

- iii. Payment Disputes

If Contractor disputes any calculation, determination or amount of any payment, Contractor shall notify the State in writing of its dispute within 30 days following the earlier to occur of Contractor's receipt of the payment or notification of the determination or calculation of the payment by the State. The State will review the information presented by Contractor and may make changes to its determination based on this review. The calculation, determination or payment amount that results from the State's review shall not be subject to additional dispute under this subsection. No payment subject to a dispute under this subsection shall be due until after the State has concluded its review, and the State shall not pay any interest on any amount during the period it is subject to dispute under this subsection.

- iv. Available Funds-Contingency-Termination

The State is prohibited by law from making commitments beyond the term of the current State Fiscal Year. Payment to Contractor beyond the current State Fiscal Year is contingent on the appropriation and continuing availability of Contract Funds in any subsequent year (as provided in the Colorado Special Provisions). If federal funds or funds from any other non-State funds constitute all or some of the Contract Funds, the State's obligation to pay Contractor shall be contingent upon such non-State funding continuing to be made available for payment. Payments to be made pursuant to this Contract shall be made only from Contract Funds, and the State's liability for such payments shall be limited to the amount remaining of such Contract Funds. If State, federal or other funds are not appropriated, or otherwise become unavailable to fund this Contract, the State may, upon written notice, terminate this Contract, in whole or in part, without incurring further liability. The State shall, however, remain obligated to pay for Services and Goods that are delivered and accepted prior to the effective date of notice of termination, and this termination shall otherwise be treated as if this Contract were terminated in the public interest as described in §2.E.

6. REPORTING - NOTIFICATION

A. Litigation Reporting

If Contractor is served with a pleading or other document in connection with an action before a court or other administrative decision-making body, and such pleading or document relates to this Contract or may affect Contractor's ability to perform its obligations under this Contract, Contractor shall, within 10 days after being served, notify the State of such action and deliver copies of such pleading or document to the State's Principal Representative identified on the Cover Page of this Contract.

B. Performance Outside the State of Colorado or the United States, §24-102-206, C.R.S.

To the extent not previously disclosed in accordance with §24-102-206, C.R.S., Contractor shall provide written notice to the State, in accordance with §14 and in a form designated by the State, within 20 days following the earlier to occur of Contractor's decision to perform Services outside of the State of Colorado or the United States, or its execution of an agreement with a Subcontractor to perform, Services outside the State of Colorado or the United States. Such notice shall specify the type of Services to be performed outside the State of Colorado or the United States and the reason why it is necessary or advantageous to perform such Services at such location or locations, and such notice shall be a public record. Knowing failure by Contractor to provide notice to the State under this section shall constitute a breach of this Contract. This section shall not apply if the Contract Funds include any federal funds.

7. CONTRACTOR RECORDS

A. Maintenance

Contractor shall maintain a file of all documents, records, communications, notes and other materials relating to the Work (the "Contractor Records"). Contractor Records shall include all documents, records, communications, notes and other materials maintained by Contractor that relate to any Work performed by Subcontractors, and Contractor shall maintain all records related to the Work performed by Subcontractors required to ensure proper performance of that Work. Contractor shall maintain Contractor Records until the last to occur of: **(i)** the date three years after the date this Contract expires or is terminated, **(ii)** final payment under this Contract is made, **(iii)** the resolution of any pending Contract matters, or **(iv)** if an audit is occurring, or Contractor has received notice that an audit is pending, the date such audit is completed and its findings have been resolved (the "Record Retention Period").

B. Inspection

Contractor shall permit the State, the federal government, and any other duly authorized agent of a governmental agency to audit, inspect, examine, excerpt, copy and transcribe Contractor Records during the Record Retention Period. Contractor shall make Contractor Records available during normal business hours at Contractor's office or place of business, or at other mutually agreed upon times or locations, upon no fewer than two Business Days' notice from the State, unless the State determines that a shorter period of notice, or no notice, is necessary to protect the interests of the State.

C. Monitoring

The State, the federal government, and any other duly authorized agent of a governmental agency in its discretion, may monitor Contractor's performance of its obligations under this Contract using procedures as determined by the State or that governmental entity. The State shall monitor Contractor's performance in a manner that does not unduly interfere with Contractor's performance of the Work.

D. Final Audit Report

Contractor shall promptly submit to the State a copy of any final audit report of an audit performed on Contractor's records that relates to or affects this Contract or the Work, whether the audit is conducted by Contractor or a third party.

8. CONFIDENTIAL INFORMATION-STATE RECORDS

A. Confidentiality

Contractor shall keep confidential, and cause all Subcontractors to keep confidential, all State Records, unless those State Records are publicly available. Contractor shall not, without prior written approval of the State, use, publish, copy, disclose to any third party, or permit the use by any third party of any State Records, except as otherwise stated in this Contract, permitted by law, or approved in writing by the State. Contractor shall provide for the security of all State Confidential Information in accordance with all applicable laws, rules, policies, publications, and guidelines. If Contractor or any of its Subcontractors will or may receive the following types of data, Contractor or its Subcontractors shall provide for the security of such data according to the following: **(i)** the most recently promulgated IRS Publication 1075 for all Tax Information and in accordance with the Safeguarding Requirements for Federal Tax Information attached to this Contract as an Exhibit, if applicable, **(ii)** the most recently updated PCI Data Security Standard from the PCI Security Standards Council for all PCI, **(iii)** the most recently issued version of the U.S. Department of Justice, Federal Bureau of Investigation, Criminal Justice Information Services Security Policy for all CJI, and **(iv)** the federal Health Insurance Portability and Accountability Act for all PHI and the HIPAA Business Associate Agreement attached to this Contract, if applicable. Contractor shall immediately forward any request or demand for State Records to the State's Principal Representative.

B. Other Entity Access and Nondisclosure Agreements

Contractor may provide State Records to its agents, employees, assigns and Subcontractors as necessary to perform the Work, but shall restrict access to State Confidential Information to those agents, employees, assigns and Subcontractors who require access to perform their obligations under this Contract. Contractor shall ensure all such agents, employees, assigns, and Subcontractors sign agreements containing nondisclosure provisions at least as protective as those in this Contract, and that the nondisclosure provisions are in force at all times the agent, employee, assign, or Subcontractor has access to any State Confidential Information. Contractor shall provide copies of those signed nondisclosure provisions to the State upon execution of the nondisclosure provisions if requested by the State.

C. Use, Security, and Retention

Contractor shall use, hold, and maintain State Confidential Information in compliance with any and all applicable laws and regulations only in facilities located within the United States, and shall maintain a secure environment that ensures confidentiality of all State Confidential Information. Contractor shall provide the State with access, subject to Contractor's reasonable security requirements, for purposes of inspecting and monitoring access and use of State Confidential Information and evaluating security control effectiveness. Upon the expiration or termination of this Contract, Contractor shall return State Records provided to Contractor or destroy such State Records and certify to the State that it has done so, as directed by the State. If Contractor is prevented by law or regulation from returning or destroying State Confidential Information, Contractor warrants it will guarantee the

confidentiality of, and cease to use, such State Confidential Information.

D. Incident Notice and Remediation

If Contractor becomes aware of any Incident, Contractor shall notify the State immediately and cooperate with the State regarding recovery, remediation, and the necessity to involve law enforcement, as determined by the State. Unless Contractor can establish that Contractor and its Subcontractors are not the cause or source of the Incident, Contractor shall be responsible for the cost of notifying each person who may have been impacted by the Incident. After an Incident, Contractor shall take steps to reduce the risk of incurring a similar type of Incident in the future as directed by the State, which may include, but is not limited to, developing and implementing a remediation plan that is approved by the State at no additional cost to the State. The State may adjust or direct modifications to this plan in its sole discretion, and Contractor shall make all modifications as directed by the State. If Contractor cannot produce its analysis and plan within the allotted time, the State, in its sole discretion, may perform such analysis and produce a remediation plan, and Contractor shall reimburse the State for the actual costs thereof. The State may, in its sole discretion and at Contractor's sole expense, require Contractor to engage the services of an independent, qualified, State-approved third party to conduct a security audit. Contractor shall provide the State with the results of such audit and evidence of Contractor's planned remediation in response to any negative findings.

E. Data Protection and Handling

Contractor shall ensure that all State Records and Work Product in the possession of Contractor or any Subcontractors are protected and handled in accordance with the requirements of this Contract, including the requirements of any Exhibits hereto, at all times.

F. Safeguarding PII

If Contractor or any of its Subcontractors will or may receive PII under this Contract, Contractor shall provide for the security of such PII, in a manner and form acceptable to the State, including, without limitation, State non-disclosure requirements, use of appropriate technology, security practices, computer access security, data access security, data storage encryption, data transmission encryption, security inspections, and audits. Contractor shall be a "Third-Party Service Provider" as defined in §24-73-103(1)(i), C.R.S. and shall maintain security procedures and practices consistent with §§24-73-101 *et seq.*, C.R.S. In addition, as set forth in § 24-74-102, *et seq.*, C.R.S., Contractor, including, but not limited to, Contractor's employees, agents and Subcontractors, agrees not to share any PII with any third parties for the purpose of investigating for, participating in, cooperating with, or assisting with Federal immigration enforcement. If Contractor is given direct access to any State databases containing PII, Contractor shall execute, on behalf of itself and its employees, the certification attached hereto as Exhibit H on an annual basis Contractor's duty and obligation to certify as set forth in Exhibit H shall continue as long as Contractor has direct access to any State databases containing PII. If Contractor uses any Subcontractors to perform services requiring direct access to State databases containing PII, the Contractor shall require such Subcontractors to execute and deliver the certification to the State on an annual basis, so long as the Subcontractor has access to State databases containing PII.

9. CONFLICTS OF INTEREST

A. Actual Conflicts of Interest

Contractor shall not engage in any business or activities or maintain any relationships that

conflict in any way with the full performance of the obligations of Contractor under this Contract. Such a conflict of interest would arise when a Contractor's or Subcontractor's employee, officer or agent were to offer or provide any tangible personal benefit to an employee of the State, or any member of his or her immediate family or his or her partner, related to the award of, entry into or management or oversight of this Contract.

B. Apparent Conflicts of Interest

Contractor acknowledges that, with respect to this Contract, even the appearance of a conflict of interest shall be harmful to the State's interests. Absent the State's prior written approval, Contractor shall refrain from any practices, activities or relationships that reasonably appear to be in conflict with the full performance of Contractor's obligations under this Contract.

C. Disclosure to the State

If a conflict or the appearance of a conflict arises, or if Contractor is uncertain whether a conflict or the appearance of a conflict has arisen, Contractor shall submit to the State a disclosure statement setting forth the relevant details for the State's consideration. Failure to promptly submit a disclosure statement or to follow the State's direction in regard to the actual or apparent conflict constitutes a breach of this Contract.

D. Contractor acknowledges that all State employees are subject to the ethical principles described in §24-18-105, C.R.S. Contractor further acknowledges that State employees may be subject to the requirements of §24-18-105, C.R.S. with regard to this Contract.

10. INSURANCE

Contractor shall obtain and maintain, and ensure that each Subcontractor shall obtain and maintain, insurance as specified in this section at all times during the term of this Contract. All insurance policies required by this Contract shall be issued by insurance companies as approved by the State.

A. Workers' Compensation

Workers' compensation insurance as required by state statute, and employers' liability insurance covering all Contractor or Subcontractor employees acting within the course and scope of their employment.

B. General Liability

Commercial general liability insurance covering premises operations, fire damage, independent contractors, products and completed operations, blanket contractual liability, personal injury, and advertising liability with minimum limits as follows:

- i. \$1,000,000 each occurrence;
- ii. \$1,000,000 general aggregate;
- iii. \$1,000,000 products and completed operations aggregate; and
- iv. \$50,000 any one fire.

C. Automobile Liability

Automobile liability insurance covering any auto (including owned, hired and non-owned autos) with a minimum limit of \$1,000,000 each accident combined single limit.

D. Cyber/Network Security and Privacy Liability

Liability insurance covering civil, regulatory, and statutory damages, contractual damages,

data breach management exposure, and any loss of income or extra expense as a result of actual or alleged breach, violation or infringement of right to privacy, consumer data protection law, confidentiality or other legal protection for personal information, as well as State Confidential Information with minimum limits as follows:

- i. \$1,000,000 each occurrence; and
- ii. \$2,000,000 general aggregate.

E. Professional Liability Insurance

Professional liability insurance covering any damages caused by an error, omission or any negligent act with minimum limits as follows:

- i. \$1,000,000 each occurrence; and
- ii. \$1,000,000 general aggregate.

F. Crime Insurance

Crime insurance including employee dishonesty coverage with minimum limits as follows:

- i. \$1,000,000 each occurrence; and
- ii. \$1,000,000 general aggregate.

G. Additional Insured

The State shall be named as additional insured on all commercial general liability policies (leases and construction contracts require additional insured coverage for completed operations) required of Contractor and Subcontractors.

H. Primacy of Coverage

Coverage required of Contractor and each Subcontractor shall be primary and noncontributory over any insurance or self-insurance program carried by Contractor or the State.

I. Cancellation

The above insurance policies shall include provisions preventing cancellation or non-renewal, except for cancellation based on non-payment of premiums, without at least 30 days prior notice to Contractor and Contractor shall forward such notice to the State in accordance with §14 within seven days of Contractor's receipt of such notice.

J. Subrogation Waiver

All insurance policies secured or maintained by Contractor or its Subcontractors in relation to this Contract shall include clauses stating that each carrier shall waive all rights of recovery under subrogation or otherwise against Contractor or the State, its agencies, institutions, organizations, officers, agents, employees, and volunteers.

K. Public Entities

If Contractor is a "public entity" within the meaning of the Colorado Governmental Immunity Act, §24-10-101, *et seq.*, C.R.S., (the "GIA"), Contractor shall maintain, in lieu of the liability insurance requirements stated above, at all times during the term of this Contract such liability insurance, by commercial policy or self-insurance, as is necessary to meet its liabilities under the GIA. If a Subcontractor is a public entity within the meaning of the GIA, Contractor shall ensure that the Subcontractor maintains at all times during the terms of this Contract, in lieu

of the liability insurance requirements stated above, such liability insurance, by commercial policy or self-insurance, as is necessary to meet the Subcontractor's obligations under the GIA.

L. Certificates

Contractor shall provide to the State certificates evidencing Contractor's insurance coverage required in this Contract within seven Business Days following the Effective Date. Contractor shall provide to the State certificates evidencing Subcontractor insurance coverage required under this Contract within seven Business Days following the Effective Date, except that, if Contractor's subcontract is not in effect as of the Effective Date, Contractor shall provide to the State certificates showing Subcontractor insurance coverage required under this Contract within seven Business Days following Contractor's execution of the subcontract. No later than 15 days before the expiration date of Contractor's or any Subcontractor's coverage, Contractor shall deliver to the State certificates of insurance evidencing renewals of coverage. At any other time during the term of this Contract, upon request by the State, Contractor shall, within seven Business Days following the request by the State, supply to the State evidence satisfactory to the State of compliance with the provisions of this section. Contractor shall provide all certificates electronically to the Department's designated insurance certificate submission site, unless the Department has specifically directed otherwise.

11. BREACH OF CONTRACT

In the event of a Breach of Contract, the aggrieved Party shall give written notice of breach to the other Party. If the notified Party does not cure the Breach of Contract, at its sole expense, within 30 days after the delivery of written notice, the Party may exercise any of the remedies as described in §12 for that Party. Notwithstanding any provision of this Contract to the contrary, the State, in its discretion, need not provide notice or a cure period and may immediately terminate this Contract in whole or in part or institute any other remedy in this Contract in order to protect the public interest of the State; or if Contractor is debarred or suspended under §24-109-105, C.R.S., the State, in its discretion, need not provide notice or cure period and may terminate this Contract in whole or in part or institute any other remedy in this Contract as of the date that the debarment or suspension takes effect.

12. REMEDIES

A. State's Remedies

If Contractor is in breach under any provision of this Contract and fails to cure such breach, the State, following the notice and cure period set forth in §11, shall have all of the remedies listed in this section, in addition to all other remedies set forth in this Contract or at law. The State may exercise any or all of the remedies available to it, in its discretion, concurrently or consecutively.

i. Termination for Breach of Contract

In the event of Contractor's uncured breach, the State may terminate this entire Contract or any part of this Contract. Contractor shall continue performance of this Contract to the extent not terminated, if any.

a. Obligations and Rights

To the extent specified in any termination notice, Contractor shall not incur further obligations or render further performance past the effective date of such notice, and shall terminate outstanding orders and subcontracts with third parties.

However, Contractor shall complete and deliver to the State all Work not cancelled by the termination notice and may incur obligations as necessary to do so within this Contract's terms. At the request of the State, Contractor shall assign to the State all of Contractor's rights, title, and interest in and to such terminated orders or subcontracts. Upon termination, Contractor shall take timely, reasonable and necessary action to protect and preserve property in the possession of Contractor but in which the State has an interest. At the State's request, Contractor shall return materials owned by the State in Contractor's possession at the time of any termination. Contractor shall deliver all completed Work Product and all Work Product that was in the process of completion to the State at the State's request.

b. Payments

Notwithstanding anything to the contrary, the State shall only pay Contractor for accepted Work received as of the date of termination. If, after termination by the State, the State agrees that Contractor was not in breach or that Contractor's action or inaction was excusable, such termination shall be treated as a termination in the public interest, and the rights and obligations of the Parties shall be as if this Contract had been terminated in the public interest under **§2.E**.

c. Damages and Withholding

Notwithstanding any other remedial action by the State, Contractor shall remain liable to the State for any damages sustained by the State in connection with any breach by Contractor, and the State may withhold payment to Contractor for the purpose of mitigating the State's damages until such time as the exact amount of damages due to the State from Contractor is determined. The State may withhold any amount that may be due Contractor as the State deems necessary to protect the State against loss including, without limitation, loss as a result of outstanding liens and excess costs incurred by the State in procuring from third parties replacement Work as cover.

ii. Remedies Not Involving Termination

The State, in its discretion, may exercise one or more of the following additional remedies:

a. Suspend Performance

Suspend Contractor's performance with respect to all or any portion of the Work pending corrective action as specified by the State without entitling Contractor to an adjustment in price or cost or an adjustment in the performance schedule. Contractor shall promptly cease performing Work and incurring costs in accordance with the State's directive, and the State shall not be liable for costs incurred by Contractor after the suspension of performance.

b. Withhold Payment

Withhold payment to Contractor until Contractor corrects its Work.

c. Deny Payment

Deny payment for Work not performed, or that due to Contractor's actions or inactions, cannot be performed or if they were performed are reasonably of no

value to the State; provided, that any denial of payment shall be equal to the value of the obligations not performed.

d. Removal

Demand immediate removal of any of Contractor's employees, agents, or Subcontractors from the Work whom the State deems incompetent, careless, insubordinate, unsuitable, or otherwise unacceptable or whose continued relation to this Contract is deemed by the State to be contrary to the public interest or the State's best interest.

e. Intellectual Property

If any Work infringes, or if the State in its sole discretion determines that any Work is likely to infringe, a patent, copyright, trademark, trade secret or other intellectual property right, Contractor shall, as approved by the State (i) secure that right to use such Work for the State and Contractor; (ii) replace the Work with noninfringing Work or modify the Work so that it becomes noninfringing; or, (iii) remove any infringing Work and refund the amount paid for such Work to the State.

B. Contractor's Remedies

If the State is in breach of any provision of this Contract and does not cure such breach, Contractor, following the notice and cure period in §11 and the dispute resolution process in §13 shall have all remedies available at law and equity.

13. DISPUTE RESOLUTION

A. Initial Resolution

Except as herein specifically provided otherwise, disputes concerning the performance of this Contract which cannot be resolved by the designated Contract representatives shall be referred in writing to a senior departmental management staff member designated by the State and a senior manager designated by Contractor for resolution.

B. Resolution of Controversies

If the initial resolution described in §13.A fails to resolve the dispute within 10 Business Days, Contractor shall submit any alleged breach of this Contract by the State to the Procurement Official of the State Agency named on the Cover Page of this Contract as described in §24-102-202(3), C.R.S. for resolution in accordance with the provisions of C.R.S. §24-106-109, C.R.S., and §§24-109-101.1 through 24-109-505, C.R.S., (the "Resolution Statutes"), except that if Contractor wishes to challenge any decision rendered by the Procurement Official, Contractor's challenge shall be an appeal to the Executive Director of the Department of Personnel and Administration, or their delegate, under the Resolution Statutes before Contractor pursues any further action as permitted by such statutes. Except as otherwise stated in this Section, all requirements of the Resolution Statutes shall apply including, without limitation, time limitations.

14. NOTICES AND REPRESENTATIVES

Each individual identified as a Principal Representative on the Cover Page for this Contract shall be the principal representative of the designating Party. All notices required or permitted to be given under this Contract shall be in writing, and shall be delivered (A) by hand with receipt required, (B) by certified or registered mail to such Party's principal representative at the address

set forth on the Cover Page of this Contract or (C) as an email with read receipt requested to the principal representative at the email address, if any, set forth on the Cover Page of this Contract. If a Party delivers a notice to another through email and the email is undeliverable, then, unless the Party has been provided with an alternate email contact, the Party delivering the notice shall deliver the notice by hand with receipt required or by certified or registered mail to such Party's principal representative at the address set forth on the Cover Page for this Contract. Either Party may change its principal representative or principal representative contact information by notice submitted in accordance with this section without a formal amendment to this Contract. Unless otherwise provided in this Contract, notices shall be effective upon delivery of the written notice.

15. RIGHTS IN WORK PRODUCT AND OTHER INFORMATION

A. Work Product

i. Copyrights

To the extent that the Work Product (or any portion of the Work Product) would not be considered works made for hire under applicable law, Contractor hereby assigns to the State, the entire right, title, and interest in and to copyrights in all Work Product and all works based upon, derived from, or incorporating the Work Product; all copyright applications, registrations, extensions, or renewals relating to all Work Product and all works based upon, derived from, or incorporating the Work Product; and all moral rights or similar rights with respect to the Work Product throughout the world. To the extent that Contractor cannot make any of the assignments required by this section, Contractor hereby grants to the State a perpetual, irrevocable, royalty-free license to use, modify, copy, publish, display, perform, transfer, distribute, sell, and create derivative works of the Work Product and all works based upon, derived from, or incorporating the Work Product by all means and methods and in any format now known or invented in the future. The State may assign and license its rights under this license.

ii. Patents

In addition, Contractor grants to the State (and to recipients of Work Product distributed by or on behalf of the State) a perpetual, worldwide, no-charge, royalty-free, irrevocable patent license to make, have made, use, distribute, sell, offer for sale, import, transfer, and otherwise utilize, operate, modify and propagate the contents of the Work Product. Such license applies only to those patent claims licensable by Contractor that are necessarily infringed by the Work Product alone, or by the combination of the Work Product with anything else used by the State.

iii. Assignments and Assistance

Whether or not Contractor is under contract with the State at the time, Contractor shall execute applications, assignments, and other documents, and shall render all other reasonable assistance requested by the State, to enable the State to secure patents, copyrights, licenses and other intellectual property rights related to the Work Product. To the extent that Work Product would fall under the definition of "works made for hire" under 17 U.S.C.S. §101, the Parties intend the Work Product to be a work made for hire. Contractor assigns to the State and its successors and assigns, the entire right, title, and interest in and to all causes of action, either in law or in equity, for past,

present, or future infringement of intellectual property rights related to the Work Product and all works based on, derived from, or incorporating the Work Product.

B. Exclusive Property of the State

Except to the extent specifically provided elsewhere in this Contract, all State Records, documents, text, software (including source code), research, reports, proposals, specifications, plans, notes, studies, data, images, photographs, negatives, pictures, drawings, designs, models, surveys, maps, materials, ideas, concepts, know-how, and information provided by or on behalf of the State to Contractor are the exclusive property of the State (collectively, "State Materials"). Contractor shall not use, willingly allow, cause or permit Work Product or State Materials to be used for any purpose other than the performance of Contractor's obligations in this Contract without the prior written consent of the State. Upon termination of this Contract for any reason, Contractor shall provide all Work Product and State Materials to the State in a form and manner as directed by the State.

C. Exclusive Property of Contractor

Contractor retains the exclusive rights, title, and ownership to any and all pre-existing materials owned or licensed to Contractor including, but not limited to, all pre-existing software, licensed products, associated source code, machine code, text images, audio and/or video, and third-party materials, delivered by Contractor under the Contract, whether incorporated in a Deliverable or necessary to use a Deliverable (collectively, "Contractor Property"). Contractor Property shall be licensed to the State as set forth in this Contract or a State approved license agreement: **(i)** entered into as exhibits to this Contract; **(ii)** obtained by the State from the applicable third-party vendor; or **(iii)** in the case of open source software, the license terms set forth in the applicable open source license agreement.

16. GENERAL PROVISIONS

A. Assignment

Contractor's rights and obligations under this Contract are personal and may not be transferred or assigned without the prior, written consent of the State. Any attempt at assignment or transfer without such consent shall be void. Any assignment or transfer of Contractor's rights and obligations approved by the State shall be subject to the provisions of this Contract

B. Subcontracts

Contractor shall not enter into any subcontract in connection with its obligations under this Contract without the prior, written approval of the State. Contractor shall submit to the State a copy of each such subcontract upon request by the State. All subcontracts entered into by Contractor in connection with this Contract shall comply with all applicable federal and state laws and regulations, shall provide that they are governed by the laws of the State of Colorado, and shall be subject to all provisions of this Contract.

C. Binding Effect

Except as otherwise provided in **§16.A.**, all provisions of this Contract, including the benefits and burdens, shall extend to and be binding upon the Parties' respective successors and assigns.

D. Authority

Each Party represents and warrants to the other that the execution and delivery of this

Contract and the performance of such Party's obligations have been duly authorized.

E. Captions and References

The captions and headings in this Contract are for convenience of reference only, and shall not be used to interpret, define, or limit its provisions. All references in this Contract to sections (whether spelled out or using the § symbol), subsections, exhibits or other attachments, are references to sections, subsections, exhibits or other attachments contained herein or incorporated as a part hereof, unless otherwise noted.

F. Counterparts

This Contract may be executed in multiple, identical, original counterparts, each of which shall be deemed to be an original, but all of which, taken together, shall constitute one and the same agreement.

G. Entire Understanding

This Contract represents the complete integration of all understandings between the Parties related to the Work, and all prior representations and understandings related to the Work, oral or written, are merged into this Contract. Prior or contemporaneous additions, deletions, or other changes to this Contract shall not have any force or effect whatsoever, unless embodied herein.

H. Digital Signatures

If any signatory signs this Contract using a digital signature in accordance with the Colorado State Controller Contract, Grant and Purchase Order Policies regarding the use of digital signatures issued under the State Fiscal Rules, then any agreement or consent to use digital signatures within the electronic system through which that signatory signed shall be incorporated into this Contract by reference.

I. Modification

Except as otherwise provided in this Contract, any modification to this Contract shall only be effective if agreed to in a formal amendment to this Contract, properly executed and approved in accordance with applicable Colorado State law and State Fiscal Rules. Modifications permitted under this Contract, other than contract amendments, shall conform to the policies issued by the Colorado State Controller.

J. Statutes, Regulations, Fiscal Rules, and Other Authority

Any reference in this Contract to a statute, regulation, State Fiscal Rule, fiscal policy or other authority shall be interpreted to refer to such authority then current, as may have been changed or amended since the Effective Date of this Contract.

K. External Terms and Conditions

Notwithstanding anything to the contrary herein, the State shall not be subject to any provision included in any terms, conditions, or agreements appearing on Contractor's or a Subcontractor's website or any provision incorporated into any click-through or online agreements related to the Work unless that provision is specifically referenced in this Contract.

L. Severability

The invalidity or unenforceability of any provision of this Contract shall not affect the validity or enforceability of any other provision of this Contract, which shall remain in full force and

effect, provided that the Parties can continue to perform their obligations under this Contract in accordance with the intent of this Contract.

M. Survival of Certain Contract Terms

Any provision of this Contract that imposes an obligation on a Party after termination or expiration of this Contract shall survive the termination or expiration of this Contract and shall be enforceable by the other Party.

N. Taxes

The State is exempt from federal excise taxes under I.R.C. Chapter 32 (26 U.S.C., Subtitle D, Ch. 32) (Federal Excise Tax Exemption Certificate of Registry No. 84-730123K) and from State and local government sales and use taxes under §§39-26-704(1), *et seq.*, C.R.S. (Colorado Sales Tax Exemption Identification Number 98-02565). The State shall not be liable for the payment of any excise, sales, or use taxes, regardless of whether any political subdivision of the state imposes such taxes on Contractor. Contractor shall be solely responsible for any exemptions from the collection of excise, sales or use taxes that Contractor may wish to have in place in connection with this Contract.

O. Third Party Beneficiaries

Except for the Parties' respective successors and assigns described in §16.A., this Contract does not and is not intended to confer any rights or remedies upon any person or entity other than the Parties. Enforcement of this Contract and all rights and obligations hereunder are reserved solely to the Parties. Any services or benefits which third parties receive as a result of this Contract are incidental to this Contract, and do not create any rights for such third parties.

P. Waiver

A Party's failure or delay in exercising any right, power, or privilege under this Contract, whether explicit or by lack of enforcement, shall not operate as a waiver, nor shall any single or partial exercise of any right, power, or privilege preclude any other or further exercise of such right, power, or privilege.

Q. CORA Disclosure

To the extent not prohibited by federal law, this Contract and the performance measures and standards required under §24-106-107, C.R.S., if any, are subject to public release through the CORA.

R. Standard and Manner of Performance

Contractor shall perform its obligations under this Contract in accordance with the highest standards of care, skill and diligence in Contractor's industry, trade, or profession.

S. Licenses, Permits, and Other Authorizations

Contractor shall secure, prior to the Effective Date, and maintain at all times during the term of this Contract, at its sole expense, all licenses, certifications, permits, and other authorizations required to perform its obligations under this Contract, and shall ensure that all employees, agents and Subcontractors secure and maintain at all times during the term of their employment, agency or subcontract, all licenses, certifications, permits and other authorizations required to perform their obligations in relation to this Contract.

T. Indemnification

i. General Indemnification

Contractor shall indemnify, save, and hold harmless the State, its employees, agents and assignees (the “Indemnified Parties”), against any and all costs, expenses, claims, damages, liabilities, court awards and other amounts (including attorneys’ fees and related costs) incurred by any of the Indemnified Parties in relation to any act or omission by Contractor, or its employees, agents, Subcontractors, or assignees in connection with this Contract.

ii. Confidential Information Indemnification

Disclosure or use of State Confidential Information by Contractor in violation of §8 may be cause for legal action by third parties against Contractor, the State, or their respective agents. Contractor shall indemnify, save, and hold harmless the Indemnified Parties, against any and all claims, damages, liabilities, losses, costs, expenses (including attorneys’ fees and costs) incurred by the State in relation to any act or omission by Contractor, or its employees, agents, assigns, or Subcontractors in violation of §8.

iii. Intellectual Property Indemnification

Contractor shall indemnify, save, and hold harmless the Indemnified Parties, against any and all costs, expenses, claims, damages, liabilities, and other amounts (including attorneys’ fees and costs) incurred by the Indemnified Parties in relation to any claim that any deliverable, Good or Service, software, or Work Product provided by Contractor under this Contract (collectively, “IP Deliverables”), or the use thereof, infringes a patent, copyright, trademark, trade secret, or any other intellectual property right. Contractor’s obligations hereunder shall not extend to the combination of any IP Deliverables provided by Contractor with any other product, system, or method, unless the other product, system, or method is (a) provided by Contractor or Contractor’s subsidiaries or affiliates; (b) specified by Contractor to work with the IP Deliverables; (c) reasonably required in order to use the IP Deliverables in its intended manner and the infringement could not have been avoided by substituting another reasonably available product, system, or method capable of performing the same function; or (d) is reasonably expected to be used in combination with the IP Deliverables.

iv. Accessibility Indemnification

Contractor shall indemnify, save, and hold harmless the Indemnified Parties, against any and all costs, expenses, claims, damages, liabilities, court awards and other amounts (including attorneys’ fees and related costs) incurred by any of the Indemnified Parties in relation to Contractor’s failure to comply with §§24-85-101, *et seq.*, C.R.S., or the Accessibility Standards for Individuals with a Disability as established by OIT pursuant to Section §24-85-103(2.5), C.R.S.

U. Accessibility

- i. Contractor shall comply with and the Work Product provided under this Contract shall be in compliance with all applicable provisions of §§24-85-101, *et seq.*, C.R.S., and the *Accessibility Standards for Individuals with a Disability*, as established by the Governor’s Office Of Information Technology (OIT), pursuant to Section §24-85-103(2.5), C.R.S. Contractor shall also comply with all State of Colorado technology standards related to technology accessibility and with Level AA of the most current

version of the Web Content Accessibility Guidelines (WCAG), incorporated in the State of Colorado technology standards.

- ii. The State may require Contractor's compliance to the State's Accessibility Standards to be determined by a third party selected by the State to attest to Contractor's Work Product and software is in compliance with §§24-85-101, *et seq.*, C.R.S., and the *Accessibility Standards for Individuals with a Disability* as established by OIT pursuant to Section §24-85-103(2.5), C.R.S.

V. Additional Provisions

Contractor shall comply with all requirements shown Exhibit A and Exhibit G.

17. COLORADO SPECIAL PROVISIONS (COLORADO FISCAL RULE 3-3)

These Special Provisions apply to all contracts except where noted in italics.

A. STATUTORY APPROVAL. §24-30-202(1), C.R.S.

This Contract shall not be valid until it has been approved by the Colorado State Controller or designee. If this Contract is for a Major Information Technology Project, as defined in §24-37.5-102(2.6), C.R.S., then this Contract shall not be valid until it has been approved by the State's Chief Information Officer or designee.

B. FUND AVAILABILITY. §24-30-202(5.5), C.R.S.

Financial obligations of the State payable after the current State Fiscal Year are contingent upon funds for that purpose being appropriated, budgeted, and otherwise made available.

C. GOVERNMENTAL IMMUNITY.

Liability for claims for injuries to persons or property arising from the negligence of the State, its departments, boards, commissions committees, bureaus, offices, employees and officials shall be controlled and limited by the provisions of the Colorado Governmental Immunity Act, §24-10-101, *et seq.*, C.R.S.; the Federal Tort Claims Act, 28 U.S.C. Pt. VI, Ch. 171 and 28 U.S.C. 1346(b), and the State's risk management statutes, §§24-30-1501, *et seq.* C.R.S. No term or condition of this Contract shall be construed or interpreted as a waiver, express or implied, of any of the immunities, rights, benefits, protections, or other provisions, contained in these statutes.

D. INDEPENDENT CONTRACTOR.

Contractor shall perform its duties hereunder as an independent contractor and not as an employee. Neither Contractor nor any agent or employee of Contractor shall be deemed to be an agent or employee of the State. Contractor shall not have authorization, express or implied, to bind the State to any agreement, liability or understanding, except as expressly set forth herein. **Contractor and its employees and agents are not entitled to unemployment insurance or workers compensation benefits through the State and the State shall not pay for or otherwise provide such coverage for Contractor or any of its agents or employees. Contractor shall pay when due all applicable employment taxes and income taxes and local head taxes incurred pursuant to this Contract. Contractor shall (i) provide and keep in force workers' compensation and unemployment compensation insurance in the amounts required by law, (ii) provide proof thereof when requested by the State, and (iii) be solely responsible for its acts and those of its employees and agents.**

E. COMPLIANCE WITH LAW.

Contractor shall comply with all applicable federal and State laws, rules, and regulations in effect or hereafter established, including, without limitation, laws applicable to discrimination and unfair employment practices.

F. CHOICE OF LAW, JURISDICTION, AND VENUE.

Colorado law, and rules and regulations issued pursuant thereto, shall be applied in the interpretation, execution, and enforcement of this Contract. Any provision included or incorporated herein by reference that conflicts with said laws, rules, and regulations shall be null and void. All suits or actions related to this Contract shall be filed and proceedings held in the State of Colorado and exclusive venue shall be in the City and County of Denver.

G. PROHIBITED TERMS.

Any term included in this Contract that requires the State to indemnify or hold Contractor harmless; requires the State to agree to binding arbitration; limits Contractor's liability for damages resulting from death, bodily injury, or damage to tangible property; or that conflicts with this provision in any way shall be void ab initio. Nothing in this Contract shall be construed as a waiver of any provision of §24-106-109, C.R.S.

H. SOFTWARE PIRACY PROHIBITION.

State or other public funds payable under this Contract shall not be used for the acquisition, operation, or maintenance of computer software in violation of federal copyright laws or applicable licensing restrictions. Contractor hereby certifies and warrants that, during the term of this Contract and any extensions, Contractor has and shall maintain in place appropriate systems and controls to prevent such improper use of public funds. If the State determines that Contractor is in violation of this provision, the State may exercise any remedy available at law or in equity or under this Contract, including, without limitation, immediate termination of this Contract and any remedy consistent with federal copyright laws or applicable licensing restrictions.

I. EMPLOYEE FINANCIAL INTEREST/CONFLICT OF INTEREST. §§24-18-201 and 24-50-507, C.R.S.

The signatories aver that to their knowledge, no employee of the State has any personal or beneficial interest whatsoever in the service or property described in this Contract. Contractor has no interest and shall not acquire any interest, direct or indirect, that would conflict in any manner or degree with the performance of Contractor's services and Contractor shall not employ any person having such known interests.

J. VENDOR OFFSET AND ERRONEOUS PAYMENTS. §§24-30-202(1) and 24-30-202.4, C.R.S.

[Not applicable to intergovernmental agreements] Subject to §24-30-202.4(3.5), C.R.S., the State Controller may withhold payment under the State's vendor offset intercept system for debts owed to State agencies for: **(i)** unpaid child support debts or child support arrearages; **(ii)** unpaid balances of tax, accrued interest, or other charges specified in §§39-21-101, *et seq.*, C.R.S.; **(iii)** unpaid loans due to the Student Loan Division of the Department of Higher Education; **(iv)** amounts required to be paid to the Unemployment Compensation Fund; and **(v)** other unpaid debts owing to the State as a result of final agency determination or judicial action. The State may also recover, at the State's discretion, payments made to Contractor in error for any reason, including, but not limited to, overpayments or improper payments, and

unexpended or excess funds received by Contractor by deduction from subsequent payments under this Contract, deduction from any payment due under any other contracts, grants or agreements between the State and Contractor, or by any other appropriate method for collecting debts owed to the State.

EXHIBIT A, HIPAA BUSINESS ASSOCIATES ADDENDUM

This HIPAA Business Associate Agreement (“Agreement”) between the State and Contractor is agreed to in connection with, and as an exhibit to, the Contract. For purposes of this Agreement, the State is referred to as “Covered Entity” and the Contractor is referred to as “Business Associate”. Unless the context clearly requires a distinction between the Contract and this Agreement, all references to “Contract” shall include this Agreement.

1. PURPOSE

Covered Entity wishes to disclose information to Business Associate, which may include Protected Health Information (“PHI”). The Parties intend to protect the privacy and security of the disclosed PHI in compliance with the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”), Pub. L. No. 104-191 (1996) as amended by the Health Information Technology for Economic and Clinical Health Act (“HITECH Act”) enacted under the American Recovery and Reinvestment Act of 2009 (“ARRA”) Pub. L. No. 111-5 (2009), implementing regulations promulgated by the U.S. Department of Health and Human Services at 45 C.F.R. Parts 160, 162 and 164 (the “HIPAA Rules”) and other applicable laws, as amended. Prior to the disclosure of PHI, Covered Entity is required to enter into an agreement with Business Associate containing specific requirements as set forth in, but not limited to, Title 45, Sections 160.103, 164.502(e) and 164.504(e) of the Code of Federal Regulations (“C.F.R.”) and all other applicable laws and regulations, all as may be amended.

2. DEFINITIONS

The following terms used in this Agreement shall have the same meanings as in the HIPAA Rules: Breach, Data Aggregation, Designated Record Set, Disclosure, Health Care Operations, Individual, Minimum Necessary, Notice of Privacy Practices, Protected Health Information, Required by Law, Secretary, Security Incident, Subcontractor, Unsecured Protected Health Information, and Use.

The following terms used in this Agreement shall have the meanings set forth below:

- a. Business Associate. “Business Associate” shall have the same meaning as the term “business associate” at 45 C.F.R. 160.103, and shall refer to Contractor.
- b. Covered Entity. “Covered Entity” shall have the same meaning as the term “covered entity” at 45 C.F.R. 160.103, and shall refer to the State.
- c. Information Technology and Information Security. “Information Technology” and “Information Security” shall have the same meanings as the terms “information technology” and “information security”, respectively, in §24-37.5-102, C.R.S.

Capitalized terms used herein and not otherwise defined herein or in the HIPAA Rules shall have the meanings ascribed to them in the Contract.

3. OBLIGATIONS AND ACTIVITIES OF BUSINESS ASSOCIATE

a. Permitted Uses and Disclosures.

- i. Business Associate shall use and disclose PHI only to accomplish Business Associate's obligations under the Contract.
- i. To the extent Business Associate carries out one or more of Covered Entity's obligations under Subpart E of 45 C.F.R. Part 164, Business Associate shall comply with any and all requirements of Subpart E that apply to Covered Entity in the performance of such obligation.
- ii. Business Associate may disclose PHI to carry out the legal responsibilities of Business Associate, provided, that the disclosure is Required by Law or Business Associate obtains reasonable assurances from the person to whom the information is disclosed that:
 - A. the information will remain confidential and will be used or disclosed only as Required by Law or for the purpose for which Business Associate originally disclosed the information to that person, and;
 - B. the person notifies Business Associate of any Breach involving PHI of which it is aware.
- iii. Business Associate may provide Data Aggregation services relating to the Health Care Operations of Covered Entity. Business Associate may de-identify any or all PHI created or received by Business Associate under this Agreement, provided the de-identification conforms to the requirements of the HIPAA Rules.

b. Minimum Necessary. Business Associate, its Subcontractors and agents, shall access, use, and disclose only the minimum amount of PHI necessary to accomplish the objectives of the Contract, in accordance with the Minimum Necessary Requirements of the HIPAA Rules including, but not limited to, 45 C.F.R. 164.502(b) and 164.514(d).

c. Impermissible Uses and Disclosures.

- i. Business Associate shall not disclose the PHI of Covered Entity to another covered entity without the written authorization of Covered Entity.
- ii. Business Associate shall not share, use, disclose or make available any Covered Entity PHI in any form via any medium with or to any person or entity beyond the boundaries or jurisdiction of the United States without express written authorization from Covered Entity.

d. Business Associate's Subcontractors.

- i. Business Associate shall, in accordance with 45 C.F.R. 164.502(e)(1)(ii) and 164.308(b)(2), ensure that any Subcontractors who create, receive, maintain, or transmit PHI on behalf of Business Associate agree in writing to the same restrictions,

conditions, and requirements that apply to Business Associate with respect to safeguarding PHI.

- ii. Business Associate shall provide to Covered Entity, on Covered Entity's request, a list of Subcontractors who have entered into any such agreement with Business Associate.
 - iii. Business Associate shall provide to Covered Entity, on Covered Entity's request, copies of any such agreements Business Associate has entered into with Subcontractors.
- e. Access to System. If Business Associate needs access to a Covered Entity Information Technology system to comply with its obligations under the Contract or this Agreement, Business Associate shall request, review, and comply with any and all policies applicable to Covered Entity regarding such system including, but not limited to, any policies promulgated by the Office of Information Technology and available at <http://oit.state.co.us/about/policies>.
- f. Access to PHI. Business Associate shall, within ten days of receiving a written request from Covered Entity, make available PHI in a Designated Record Set to Covered Entity as necessary to satisfy Covered Entity's obligations under 45 C.F.R. 164.524.
- g. Amendment of PHI.
 - i. Business Associate shall within ten days of receiving a written request from Covered Entity make any amendment to PHI in a Designated Record Set as directed by or agreed to by Covered Entity pursuant to 45 C.F.R. 164.526, or take other measures as necessary to satisfy Covered Entity's obligations under 45 C.F.R. 164.526.
 - ii. Business Associate shall promptly forward to Covered Entity any request for amendment of PHI that Business Associate receives directly from an Individual.
- h. Accounting Rights. Business Associate shall, within ten days of receiving a written request from Covered Entity, maintain and make available to Covered Entity the information necessary for Covered Entity to satisfy its obligations to provide an accounting of Disclosure under 45 C.F.R. 164.528.
- i. Restrictions and Confidential Communications.
 - i. Business Associate shall restrict the Use or Disclosure of an Individual's PHI within ten days of notice from Covered Entity of:
 - A. a restriction on Use or Disclosure of PHI pursuant to 45 C.F.R. 164.522; or
 - B. a request for confidential communication of PHI pursuant to 45 C.F.R. 164.522.
 - ii. Business Associate shall not respond directly to an Individual's requests to restrict the Use or Disclosure of PHI or to send all communication of PHI to an alternate address.

- iii. Business Associate shall refer such requests to Covered Entity so that Covered Entity can coordinate and prepare a timely response to the requesting Individual and provide direction to Business Associate.
- j. Governmental Access to Records. Business Associate shall make its facilities, internal practices, books, records, and other sources of information, including PHI, available to the Secretary for purposes of determining compliance with the HIPAA Rules in accordance with 45 C.F.R. 160.310.
- k. Audit, Inspection and Enforcement.
 - i. Business Associate shall obtain and update at least annually a written assessment performed by an independent third party reasonably acceptable to Covered Entity, which evaluates the Information Security of the applications, infrastructure, and processes that interact with the Covered Entity data Business Associate receives, manipulates, stores and distributes. Upon request by Covered Entity, Business Associate shall provide to Covered Entity the executive summary of the assessment.
 - ii. Business Associate, upon the request of Covered Entity, shall fully cooperate with Covered Entity's efforts to audit Business Associate's compliance with applicable HIPAA Rules. If, through audit or inspection, Covered Entity determines that Business Associate's conduct would result in violation of the HIPAA Rules or is in violation of the Contract or this Agreement, Business Associate shall promptly remedy any such violation and shall certify completion of its remedy in writing to Covered Entity.
- l. Appropriate Safeguards.
 - i. Business Associate shall use appropriate safeguards and comply with Subpart C of 45 C.F.R. Part 164 with respect to electronic PHI to prevent use or disclosure of PHI other than as provided in this Agreement.
 - ii. Business Associate shall safeguard the PHI from tampering and unauthorized disclosures.
 - iii. Business Associate shall maintain the confidentiality of passwords and other data required for accessing this information.
 - iv. Business Associate shall extend protection beyond the initial information obtained from Covered Entity to any databases or collections of PHI containing information derived from the PHI. The provisions of this section shall be in force unless PHI is de-identified in conformance to the requirements of the HIPAA Rules.
- m. Safeguard During Transmission.
 - i. Business Associate shall use reasonable and appropriate safeguards including, without limitation, Information Security measures to ensure that all transmissions of PHI are authorized and to prevent use or disclosure of PHI other than as provided for by this Agreement.

- ii. Business Associate shall not transmit PHI over the internet or any other insecure or open communication channel unless the PHI is encrypted or otherwise safeguarded with a FIPS-compliant encryption algorithm.
- n. Reporting of Improper Use or Disclosure and Notification of Breach.
- i. Business Associate shall, as soon as reasonably possible, but immediately after discovery of a Breach, notify Covered Entity of any use or disclosure of PHI not provided for by this Agreement, including a Breach of Unsecured Protected Health Information as such notice is required by 45 C.F.R. 164.410 or a breach for which notice is required under §24-73-103, C.R.S.
 - ii. Such notice shall include the identification of each Individual whose Unsecured Protected Health Information has been, or is reasonably believed by Business Associate to have been, accessed, acquired, or disclosed during such Breach.
 - iii. Business Associate shall, as soon as reasonably possible, but immediately after discovery of any Security Incident that does not constitute a Breach, notify Covered Entity of such incident.
 - iv. Business Associate shall have the burden of demonstrating that all notifications were made as required, including evidence demonstrating the necessity of any delay.
- o. Business Associate's Insurance and Notification Costs.
- i. Business Associate shall bear all costs of a Breach response including, without limitation, notifications, and shall maintain insurance to cover:
 - A. loss of PHI data;
 - B. Breach notification requirements specified in HIPAA Rules and in §24-73-103, C.R.S.; and
 - C. claims based upon alleged violations of privacy rights through improper use or disclosure of PHI.
 - ii. All such policies shall meet or exceed the minimum insurance requirements of the Contract or otherwise as may be approved by Covered Entity (e.g., occurrence basis, combined single dollar limits, annual aggregate dollar limits, additional insured status, and notice of cancellation).
 - iii. Business Associate shall provide Covered Entity a point of contact who possesses relevant Information Security knowledge and is accessible 24 hours per day, 7 days per week to assist with incident handling.
 - iv. Business Associate, to the extent practicable, shall mitigate any harmful effect known to Business Associate of a Use or Disclosure of PHI by Business Associate in violation of this Agreement.

p. Subcontractors and Breaches.

- i. Business Associate shall enter into a written agreement with each of its Subcontractors and agents, who create, receive, maintain, or transmit PHI on behalf of Business Associate. The agreements shall require such Subcontractors and agents to report to Business Associate any use or disclosure of PHI not provided for by this Agreement, including Security Incidents and Breaches of Unsecured Protected Health Information, on the first day such Subcontractor or agent knows or should have known of the Breach as required by 45 C.F.R. 164.410.
- ii. Business Associate shall notify Covered Entity of any such report and shall provide copies of any such agreements to Covered Entity on request.

q. Data Ownership.

- i. Business Associate acknowledges that Business Associate has no ownership rights with respect to the PHI.
 - ii. Upon request by Covered Entity, Business Associate immediately shall provide Covered Entity with any keys to decrypt information that the Business Association has encrypted and maintains in encrypted form, or shall provide such information in unencrypted usable form.
- r. Retention of PHI. Except upon termination of this Agreement as provided in Section 5 below, Business Associate and its Subcontractors or agents shall retain all PHI throughout the term of this Agreement, and shall continue to maintain the accounting of disclosures required under Section 3.h above, for a period of six years.

4. OBLIGATIONS OF COVERED ENTITY

- b. Safeguards During Transmission. Covered Entity shall be responsible for using appropriate safeguards including encryption of PHI, to maintain and ensure the confidentiality, integrity, and security of PHI transmitted pursuant to this Agreement, in accordance with the standards and requirements of the HIPAA Rules.
- c. Notice of Changes.
 - i. Covered Entity maintains a copy of its Notice of Privacy Practices on its website. Covered Entity shall provide Business Associate with any changes in, or revocation of, permission to use or disclose PHI, to the extent that it may affect Business Associate's permitted or required uses or disclosures.
 - ii. Covered Entity shall notify Business Associate of any restriction on the use or disclosure of PHI to which Covered Entity has agreed in accordance with 45 C.F.R. 164.522, to the extent that it may affect Business Associate's permitted use or disclosure of PHI.

5. TERMINATION

d. Breach.

- i. In addition to any Contract provision regarding remedies for breach, Covered Entity shall have the right, in the event of a breach by Business Associate of any provision of this Agreement, to terminate immediately the Contract, or this Agreement, or both.
- ii. Subject to any directions from Covered Entity, upon termination of the Contract, this Agreement, or both, Business Associate shall take timely, reasonable, and necessary action to protect and preserve property in the possession of Business Associate in which Covered Entity has an interest.

b. Effect of Termination.

- i. Upon termination of this Agreement for any reason, Business Associate, at the option of Covered Entity, shall return or destroy all PHI that Business Associate, its agents, or its Subcontractors maintain in any form, and shall not retain any copies of such PHI.
- ii. If Covered Entity directs Business Associate to destroy the PHI, Business Associate shall certify in writing to Covered Entity that such PHI has been destroyed.
- iii. If Business Associate believes that returning or destroying the PHI is not feasible, Business Associate shall promptly provide Covered Entity with notice of the conditions making return or destruction infeasible. Business Associate shall continue to extend the protections of Section 3 of this Agreement to such PHI, and shall limit further use of such PHI to those purposes that make the return or destruction of such PHI infeasible.

6. INJUNCTIVE RELIEF

Covered Entity and Business Associate agree that irreparable damage would occur in the event Business Associate or any of its Subcontractors or agents use or disclosure of PHI in violation of this Agreement, the HIPAA Rules or any applicable law. Covered Entity and Business Associate further agree that money damages would not provide an adequate remedy for such Breach. Accordingly, Covered Entity and Business Associate agree that Covered Entity shall be entitled to injunctive relief, specific performance, and other equitable relief to prevent or restrain any Breach or threatened Breach of and to enforce specifically the terms and provisions of this Agreement.

7. LIMITATION OF LIABILITY

Any provision in the Contract limiting Contractor's liability shall not apply to Business Associate's liability under this Agreement, which shall not be limited.

8. DISCLAIMER

Covered Entity makes no warranty or representation that compliance by Business Associate with this Agreement or the HIPAA Rules will be adequate or satisfactory for Business Associate's own purposes.

Business Associate is solely responsible for all decisions made and actions taken by Business Associate regarding the safeguarding of PHI.

9. CERTIFICATION

Covered Entity has a legal obligation under HIPAA Rules to certify as to Business Associate's Information Security practices. Covered Entity or its authorized agent or contractor shall have the right to examine Business Associate's facilities, systems, procedures, and records, at Covered Entity's expense, if Covered Entity determines that examination is necessary to certify that Business Associate's Information Security safeguards comply with the HIPAA Rules or this Agreement.

10. AMENDMENT

- e. Amendment to Comply with Law. The Parties acknowledge that state and federal laws and regulations relating to data security and privacy are rapidly evolving and that amendment of this Agreement may be required to provide procedures to ensure compliance with such developments.
 - i. In the event of any change to state or federal laws and regulations relating to data security and privacy affecting this Agreement, the Parties shall take such action as is necessary to implement the changes to the standards and requirements of HIPAA, the HIPAA Rules and other applicable rules relating to the confidentiality, integrity, availability and security of PHI with respect to this Agreement.
 - ii. Business Associate shall provide to Covered Entity written assurance satisfactory to Covered Entity that Business Associate shall adequately safeguard all PHI, and obtain written assurance satisfactory to Covered Entity from Business Associate's Subcontractors and agents that they shall adequately safeguard all PHI.
 - iii. Upon the request of either Party, the other Party promptly shall negotiate in good faith the terms of an amendment to the Contract embodying written assurances consistent with the standards and requirements of HIPAA, the HIPAA Rules, or other applicable rules.
 - iv. Covered Entity may terminate this Agreement upon 30 days' prior written notice in the event that:
 - A. Business Associate does not promptly enter into negotiations to amend the Contract and this Agreement when requested by Covered Entity pursuant to this Section; or
 - B. Business Associate does not enter into an amendment to the Contract and this Agreement, which provides assurances regarding the safeguarding of PHI sufficient, in Covered Entity's sole discretion, to satisfy the standards and requirements of the HIPAA, the HIPAA Rules and applicable law.

- b. Amendment of Appendix. The Appendix to this Agreement may be modified or amended by the mutual written agreement of the Parties, without amendment of this Agreement. Any modified or amended Appendix agreed to in writing by the Parties shall supersede and replace any prior version of the Appendix.

11. ASSISTANCE IN LITIGATION OR ADMINISTRATIVE PROCEEDINGS

Covered Entity shall provide written notice to Business Associate if litigation or administrative proceeding is commenced against Covered Entity, its directors, officers, or employees, based on a claimed violation by Business Associate of HIPAA, the HIPAA Rules or other laws relating to security and privacy or PHI. Upon receipt of such notice and to the extent requested by Covered Entity, Business Associate shall, and shall cause its employees, Subcontractors, or agents assisting Business Associate in the performance of its obligations under the Contract to, assist Covered Entity in the defense of such litigation or proceedings. Business Associate shall, and shall cause its employees, Subcontractor's and agents to, provide assistance, to Covered Entity, which may include testifying as a witness at such proceedings. Business Associate or any of its employees, Subcontractors or agents shall not be required to provide such assistance if Business Associate is a named adverse party.

12. INTERPRETATION AND ORDER OF PRECEDENCE

Any ambiguity in this Agreement shall be resolved in favor of a meaning that complies and is consistent with the HIPAA Rules. In the event of an inconsistency between the Contract and this Agreement, this Agreement shall control. This Agreement supersedes and replaces any previous, separately executed HIPAA business associate agreement between the Parties.

13. SURVIVAL

Provisions of this Agreement requiring continued performance, compliance, or effect after termination shall survive termination of this contract or this agreement and shall be enforceable by Covered Entity.

APPENDIX TO HIPAA BUSINESS ASSOCIATE AGREEMENT

This Appendix (“Appendix”) to the HIPAA Business Associate Agreement (“Agreement”) is an appendix to the Contract and the Agreement. For the purposes of this Appendix, defined terms shall have the meanings ascribed to them in the Agreement and the Contract.

Unless the context clearly requires a distinction between the Contract, the Agreement, and this Appendix, all references to “Contract” or “Agreement” shall include this Appendix.

1. PURPOSE

This Appendix sets forth additional terms to the Agreement. Any sub-section of this Appendix marked as “Reserved” shall be construed as setting forth no additional terms.

2. ADDITIONAL TERMS

- f. Additional Permitted Uses. In addition to those purposes set forth in the Agreement, Business Associate may use PHI for the following additional purposes:
 - i. Reserved.
- g. Additional Permitted Disclosures. In addition to those purposes set forth in the Agreement, Business Associate may disclose PHI for the following additional purposes:
 - ii. Reserved.
- c. Approved Subcontractors. Covered Entity agrees that the following Subcontractors or agents of Business Associate may receive PHI under the Agreement:
 - i. Reserved.
- d. Definition of Receipt of PHI. Business Associate’s receipt of PHI under this Contract shall be deemed to occur, and Business Associate’s obligations under the Agreement shall commence, as follows:
 - i. Reserved.
- e. Additional Restrictions on Business Associate. Business Associate agrees to comply with the following additional restrictions on Business Associate’s use and disclosure of PHI under the Contract:
 - i. Reserved.
- f. Additional Terms. Business Associate agrees to comply with the following additional terms under the Agreement:
 - i. Reserved.

EXHIBIT B, STATEMENT OF WORK

1. CASE MANAGEMENT OBLIGATIONS

1.1. Contractor's Obligations

1.1.1. The Contractor shall provide case management activities outlined in this Contract for the following Home and Community Based Services (HCBS) waivers, Non-HCBS programs, and State General Fund programs:

- 1.1.1.1. Family Support Services Program (FSSP)
- 1.1.1.2. HCBS Children with a Life Limiting Illness Waiver (HCBS-CLLI)
- 1.1.1.3. HCBS Children's Extensive Supports Waiver (HCBS-CES)
- 1.1.1.4. HCBS Children's Habilitation Residential Program Waiver (HCBS-CHRP)
- 1.1.1.5. HCBS Community Mental Health Supports Waiver (HCBS-CMHS)
- 1.1.1.6. HCBS Complimentary and Integrative Health Waiver (HCBS-CIH)
- 1.1.1.7. HCBS Developmental Disabilities Waiver (HCBS-DD)
- 1.1.1.8. HCBS Persons who are Elderly, Blind and Disabled Waiver (HCBS-EBD)
- 1.1.1.9. HCBS Persons with Brain Injury Waiver (HCBS-BI)
- 1.1.1.10. HCBS Supported Living Services Waiver (HCBS-SLS)
- 1.1.1.11. Hospital Back-Up Program (HBU)
- 1.1.1.12. Intermediate Care Facilities-Intellectual and Developmental Disabilities (ICF-IDD)
- 1.1.1.13. Long Term Home Health (LTHH)
- 1.1.1.14. Nursing Facilities (NF)
- 1.1.1.15. Omnibus Reconciliation Act of 1987 Specialized Services Program (OBRA-SS)
- 1.1.1.16. Program for All-Inclusive Care for the Elderly (PACE)
- 1.1.1.17. State Supported Living Services Program (State SLS)

1.1.2. The Contractor shall abide by and perform its duties and obligations in conformity with relevant federal law, all pertinent federal regulations, State law, rules and regulations of the Department of Health Care Policy and Financing which include, but are not limited to:

- 1.1.2.1. Colorado Revised Statutes, Title 25.5, Article 6, Sections 104 through and including 107.
- 1.1.2.2. Colorado Revised Statute, Title 25.5, Article 10 et seq.,
- 1.1.2.3. Colorado Department of Health Care Policy and Financing written communications.
- 1.1.2.4. Colorado Department of Public Health and Environment at 6 C.C.R. 1011-1 et seq.,
- 1.1.2.5. Colorado Department of Human Services 12 C.C.R. 2509-8 7.700 et seq.
- 1.1.2.6. All State Medicaid regulations promulgated by the Department. These regulations include, but are not limited to:
 - 1.1.2.6.1. FSSP 10 CCR 2505-10, Sections 8.613 et seq.,
 - 1.1.2.6.2. Long-Term Care 10 CCR 2505-10, Sections 8.400 through 8.409 et seq.,

- 1.1.2.6.3. Long Term Care Single Entry Point System - 10 CCR 2505-10, Section 8.393 et seq.,
- 1.1.2.6.4. HCBS-BI – 10 CCR 2505-10, Section 8.515 et seq.,
- 1.1.2.6.5. HCBS-CES, 10 C.C.R. 2505-10 Section 8.503 et seq.,
- 1.1.2.6.6. HCBS-CHRP, 10 C.C.R. 2505-10 Section 8.508 et seq.,
- 1.1.2.6.7. HCBS-CIH 10 CCR 2505-10, Section 8.517 et seq.,
- 1.1.2.6.8. HCBS-CLLI 10 CCR 2505-10, Section 8.504 et seq.,
- 1.1.2.6.9. HCBS-CMHS 10 CCR 2505-10, Section 8.509 et seq.,
- 1.1.2.6.10. HCBS-DD, 10 C.C.R. 2505-10 Sections 8.500 to 8.500.80 et seq.,
- 1.1.2.6.11. HCBS-EBD 10 CCR 2505-10, Sections 8.485 through 8.486 et seq.,
- 1.1.2.6.12. HCBS-SLS, 10 C.C.R. 2505-10 Sections 8.500.90 to 8.500.102 et seq.,
- 1.1.2.6.13. PACE Section 25.5-5-412, Section 6a-b., C.R.S et seq.,
- 1.1.2.6.14. Services for Individuals with Intellectual and Developmental Disabilities, 10 CCR 2505-10 Section 8.600 et seq.,
- 1.1.2.6.15. State SLS Program, 10 CCR 2505-10, Section 8.501 et seq.,
- 1.1.2.6.16. Recipient Appeals, 10 CCR 2505-10, Section 8.057 et seq.,
- 1.1.2.6.17. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), 2 CFR Chapter I, Chapter II, Part 200 et al.
- 1.1.3. The Contractor shall perform its obligations in conformity with the provisions of Title XIX of the Social Security Act and other applicable federal and state laws and regulations.
- 1.1.4. The Contractor shall ensure applicant and Member and individual rights are protected in accordance with Title XIX of the Social Security Act, other applicable federal and state laws, and Department regulations.
- 1.1.5. The Contractor shall comply with written Operational Memos, policies, procedures, and guidance issued by the Department.
- 1.1.6. The Contractor shall submit LTHH PARs in accordance with 10 CCR 2505-10 8.519.14.A.3.
- 1.1.7. The general Business Functions of the Contractor shall include, but is not limited to, all the following:
 - 1.1.7.1. The Contractor shall maintain a physical, publicly accessible, and Americans with Disability Act (ADA) compliant office within the Defined Service Area and appropriate staffing pattern to serve the Defined Service Area.
 - 1.1.7.1.1. The Contractor shall ensure adequate staffing through virtual or in-person services throughout the Defined Service Area in addition to a physical office space, providing access to its office for staff, Members, families, services providers, and others to best meet the needs of individuals based on individual preferences
 - 1.1.7.1.2. The Contractor shall have the ability for case managers to travel, regional coverage, and provide all required Work for the counties in which the agency operates.
 - 1.1.7.1.3. Regular business office hours of operation shall follow a Monday through Friday schedule except for federal, state, or local holidays and unplanned closures due to

inclement weather or other emergencies. Regular business office hours must be posted and made available to the public.

- 1.1.7.2. The Contractor shall have internal procedures for accommodating individuals, Members, and families who need assistance or consultation outside regular business office hours.
- 1.1.7.3. The Contractor shall have an emergency on-call procedure to respond to crisis situations outside of regular business hours. Procedures must clearly document how the Contractor will ensure timely response to emergency situations such as hospital discharges, risk of homelessness, unexpected termination of residential services, etc. The Contractor shall make the procedure available to the Department upon request. The Contractor shall notify individuals, Members, families, providers, and community partners of the procedures and make it readily available through a variety of methods.
- 1.1.7.4. The Contractor shall have an internal policy and procedure to respond to all telephone calls, voicemails, and emails from Members and families on average within two Business Days of receipt by the Contractor.
- 1.1.7.5. The Contractor shall overcome any geographic barriers within the Defined Service Area, including distance from the agency office to provide timely assessment and case management services to individuals, Members and families, as required by Contract, Federal or State statutes and regulations. This may include staff who reside throughout the Defined Service Area to best meet the needs of individuals and members.
- 1.1.7.6. The Contractor shall protect Members' rights as they relate to the responsibilities of Case Management Agencies as described in this Contract.
- 1.1.7.7. The Contractor shall provide access to a telephone system and trained staff to ensure timely response to messages and telephone calls received after hours.
- 1.1.7.8. The Contractor shall provide access to telecommunication devices and/or interpreters for the hearing and vocally impaired and foreign language interpreters as needed to fulfil all Work. The Contractor shall conduct an assessment of the communication needs of the Members they serve and ensure their interpretation and telecommunication services sufficiently meet the Member's need in a timely fashion.
- 1.1.7.9. The Contractor shall follow communication standards set by the Department which includes, but is not limited to Memo Series, technical assistance documents, Provider Bulletins, training documents, and email correspondence.
- 1.1.7.10. The Contractor shall support the Department's National Core Indicators (NCI) efforts.
- 1.1.7.11. The Contractor shall support the Department's Equity, Diversity, Inclusion, and Accessibility (EDIA) efforts to include participation in a Department led EDIA assessment and survey. The Contractor shall have a written policy and procedure on the agency's commitment to equity, diversity, inclusion and accessibility that includes approaches to confronting racism and building opportunity for inclusion that promotes equitable treatment of historically underserved and marginalized communities. The Contractor shall make the policy and procedure available to the Department upon request.
- 1.1.7.12. The Contractor shall enroll and act as a Medicaid Targeted Case Management (TCM) provider for all HCBS waivers and enroll as a provider of CHCBS case management services to include, but not limited to, providing ongoing case management and monitoring activities for the Defined Service Area.

- 1.1.7.13. The Contractor may be granted a Conflict Free Case Management Waiver (CFCMW) by the Department to provide specific HCBS services within the Defined Service Area when one is necessary to maintain services in rural and frontier service areas.
 - 1.1.7.13.1. The Contractor shall obtain and maintain approval for the CFCMW throughout the Contract Period to meet program requirements for a Case Management Agency.
 - 1.1.7.13.2. The Department reserves the right to revoke the Contractor's CFCMW at any time.
 - 1.1.7.13.3. The Contractor shall submit an annual report to the Department that includes, but is not limited to, the following information:
 - 1.1.7.13.3.1. Written processes in place to ensure remediation of conflict and separation of entities.
 - 1.1.7.13.3.2. Documentation of Member choice and informed consent of the conflict of the agency being selected.
 - 1.1.7.13.3.3. A summary of the individuals participating in direct services and case management at the agency with the CFCMW.
 - 1.1.7.13.3.4. Policies and procedures outlining how the Contractor will validate that there are no other willing and qualified providers in their Defined Service Area with capacity to provide services for all eligible members in the service area.
 - 1.1.7.13.3.5. How the Contractor is supporting the recruitment of providers in their area to remediate conflict.
 - 1.1.7.13.4. If the contractor is denied a CFCMW for any reason, or one is revoked, the Contractor must have documented written plans for transitioning individuals and Members. The Contractor shall continue to provide services until a transition may be successfully implemented
 - 1.1.7.13.5. **DELIVERABLE:** Annual report and written processes and procedures on implementing rural exception and only willing and qualified provider requirements for CMAs that have been granted a CFCMW.
 - 1.1.7.13.6. **DUE:** June 15th of each year or prior to contract renewal for CMAs with an approved rural exception
- 1.2. Collaboration with other Care Coordination Entities and Case Management Agencies
 - 1.2.1. The Contractor shall comply with written communication from the Department, provided by the Department, between the Contractor and community partners and service providers that outline how the Contractor will work together with these partners to coordinate care and better serve individuals and Members. The Contractor shall establish written memorandum of understanding with local care coordination entities that outline roles and responsibilities, avoidance of duplication of effort, and communication expectations. The Contractor is responsible for streamlining the Member experience to ensure full range of Medicaid services are being offered and accessed based on the Member's needs. As applicable, a memorandum of understanding shall address partnerships with:
 - 1.2.1.1. Regional Accountable Entities (RAE)
 - 1.2.1.1.1. The RAE is responsible for coordinating for physical health services and providing and arranging for behavioral health services, including, but not limited to mental health services or other non-waiver behavioral services and supports available

through Medicaid. The RAE promotes the population's health and functioning, coordinates care across disparate providers, interfaces with LTSS providers, and collaborates social, educational, justice, recreational, and housing agencies to foster healthy communities and address complex needs that span multiple agencies and jurisdictions. The RAE manages a network of primary care physical health providers and behavioral health providers to ensure access to appropriate care for Medicaid Members.

- 1.2.1.1.2. The Contractor shall ensure collaboration with RAEs occurs for all shared Members that need care coordination services for physical, mental and behavioral health services. The Contractor shall identify which community agencies are responsible for facilitation, follow-up, and solution focused on next steps for each Member collaboration.
- 1.2.1.1.3. The Contractor shall collaborate with the appropriate RAE when a Member needs assistance in accessing or coordinating the Member's physical, behavioral, or mental health needs. This shall include but is not limited to Members who have complex medical or behavioral support needs, change of conditions or involvement with Child Welfare or Adult Protection.
- 1.2.1.1.4. Coordinating with the RAE for shared Members who admit to a hospital, to include, but not limited to, communicating reasons for admission, Member's hospital status, and plans for discharge.
- 1.2.1.1.5. Collaborating with the RAE for shared Members discharging from the hospital to ensure all support needs are reflected in the Support Plan and the Member is connected to the necessary services to support a successful discharge.
- 1.2.1.1.6. Enter into a data sharing arrangement for the sharing of all necessary information for the RAE to assist Members in accessing and coordinating physical and behavioral health needs.
- 1.2.1.1.7. The Contractor shall create a complex and creative solutions process with the RAE(s) and designated staff to address needs spanning multiple Medicaid systems for all shared Members. This shall include, but not be limited to a regularly scheduled joint coordination meeting at a cadence that best meets the members needs to ensure holistic case management and care coordination.
- 1.2.1.1.8. The Contractor shall honor Member's preferences for case management and care coordination, when applicable, while ensuring collaboration with the RAE occurs.
- 1.2.1.1.9. The Contractor shall work with the Department to identify a Key Performance Indicator (KPI) to measure the effectiveness of coordination between Contractor and RAE.

1.2.2. Medicaid Eligibility Sites

- 1.2.2.1. County department of human/social services (counties) and Medical Assistance (MA) Sites are designated sites allowed by statute or certified by the Department of Health Care Policy and Financing (Department) to process the State-authorized Medical Assistance application for the programs that are administered by the Department and determine eligibility for said programs. The role of county departments, specified in CRS 25.5-1-118, is specific to the responsibility for the local administration of Medical Assistance. Additionally, the Department is authorized to establish MA sites by statute (CRS 25.5-4-

205 et seq). Counties and MA Sites use the Colorado Benefits Management System (CBMS) to determine eligibility for Child Health Plan Plus (CHP+) and Health First Colorado (Colorado's Medicaid Program) programs.

- 1.2.2.2. The Contractor shall ensure collaboration with all county and Medical Assistance sites pertaining to application, renewal, case changes or re-application status for members in the Contractor's designated service area.
- 1.2.2.3. The Contractor shall collaborate with the appropriate counties and/or Medical Assistance sites in order to ensure proper follow up and communication to support members in obtaining and maintaining their benefits.
- 1.2.3. Community Centered Boards
 - 1.2.3.1. Community Centered Boards (CCB) are the agencies responsible for leveraging local and regional resources to meet unmet needs for individuals with Intellectual and Developmental Disabilities (IDD) and their families.
 - 1.2.3.2. The Contractor shall collaborate with CCBs, this may include, but is not limited to:
 - 1.2.3.2.1. Receiving referrals or sharing information necessary for the CCB and/or CMA to assist individuals and Members in accessing LTSS programs targeted for individuals with intellectual and developmental disabilities or children with disabilities.
 - 1.2.3.2.2. Coordinating care for non-waiver services for members with intellectual and developmental disabilities where applicable or appropriate.
- 1.3. Qualification and Training Requirements
 - 1.3.1. Contractor's personnel, including, but not limited to, Case Manager(s) and Case Management Supervisor(s) shall meet all qualification requirements listed in 10 C.C.R. 2505-10, Sections 8.519 et seq.
 - 1.3.2. The Contractor shall ensure all case managers meet the qualification requirements established in 10 C.C.R. 2505-10, Section 8.519 et seq.
 - 1.3.3. The Contractor shall ensure all staff assigned to perform the Work in this Contract pass competency-based training requirements as defined by the Department including, but not limited to disability/cultural competency, person centeredness, soft skills, as well as program specific knowledge and skills.
 - 1.3.4. The Contractor shall ensure that all case management staff receive training within 120 calendar days after the staff member's hire date and prior to being assigned independent case management duties. All other case management staff must receive retraining as required by the Department, a Department approved vendor, or the Contractor.
 - 1.3.5. Training modalities may include the Departments Learning Management System (LMS), web-based training, virtual instructor-led training, in-person training sessions and training materials available on the Department website. The Contractor shall utilize training materials provided by the Department.
 - 1.3.6. Required Case Management Training includes, but is not limited to:
 - 1.3.6.1. Applicable Federal and State laws and regulations for LTSS programs
 - 1.3.6.2. Critical Incident Reporting
 - 1.3.6.3. Determination of Developmental Disability or Delay

- 1.3.6.4. Disability and Cultural Competency
- 1.3.6.5. Equity, Diversity, Inclusion and Accessibility (EDIA)
- 1.3.6.6. Intake and Referral
- 1.3.6.7. Level of Care Screen and Needs Assessment (Colorado Single Assessment) or Department Prescribed Tools
- 1.3.6.8. Long-Term Home Health (LTHH)
- 1.3.6.9. Long-Term Services and Supports Eligibility
- 1.3.6.10. Mandatory Reporting
- 1.3.6.11. Notices and Appeals
- 1.3.6.12. Nursing Facility Admissions
- 1.3.6.13. Participant Directed Training
- 1.3.6.14. Person-Centered Support Planning and Person-Centered Support Plan
- 1.3.6.15. Pre-Admission Screening and Resident Review (PASRR)
- 1.3.6.16. State General Fund Program Ongoing Case Management
- 1.3.6.17. State General Fund Program Requirements and Services
- 1.3.6.18. System Documentation
- 1.3.6.19. Waiver Requirements and Services
- 1.3.7. **DELIVERABLE:** Case Management Training
- 1.3.8. **DUE:** Semi-Annually, trainings held between July 1st and December 31st are due January 15th, and trainings held between January 1st through June 29th are due June 30th.
- 1.3.9. The Contractor shall maintain supporting documentation demonstrating case managers attended the required trainings and make the information available to the Department upon request. Supporting documentation must include the name and description of the training, date the training was held, case managers in attendance, and trainer sign off showing the case manager completed the training.
- 1.3.10. There will be no exemptions to the above list of required trainings as all case managers shall have a basic knowledge of all case management activities regardless of ongoing duties.
- 1.3.11. Case Managers shall meet competency requirements determined by the Department to perform case management tasks including the correct application of the Colorado Single Assessment and Person-Centered Support Plan. Case Managers must pass assigned training competency requirements to independently perform Case Management activities.
- 1.3.12. The Contractor shall participate in Department trainings, which will be tracked by the Department. Participation can be at the time of the presented training or, if applicable, following the training using the materials available from the Department's website or LMS.
- 1.3.13. For Case Managers who have a documented minimum of one-year immediate prior work experience at a different Colorado CMA, the Contractor may assign independent case management activities once the Contractor has verified that the Case Manager's training requirements were previously met.

- 1.3.14. The Contractor may elect to perform additional training not outlined in the Contract, but applicable to the Scope of Work, which may include mental health first aid, crisis intervention, and trauma informed care. The Contractor may utilize the Department's Case Management Training Template to identify trainings attended that are not required by the Department.
- 1.3.15. Case Management staff are required to retake training to address and remediate performance concerns as directed by the Department.
- 1.3.16. The Contractor shall provide the date all case management staff, including new and existing staff, were hired and the dates of received training in the areas identified in Section 1.2.3, using the reporting template provided by the Department for review, approval and payment.
- 1.3.17. Case Managers shall receive oversight reviews of their performance including their competency with completing the Level of Care Screen. The Contractor shall shadow case management staff completing the Level of Care Screen on an annual basis and prior to the end of each Contract Fiscal year to establish case manager's competency administering the Level of Care Screen. Documentation on case manager performance shall be maintained by the Contractor and provided to the Department upon request. Supervisors, lead workers, or a case manager with at least three years of case management experience may perform the shadowing.

1.4. Care and Case Management (CCM) System Training

- 1.4.1. The Contractor shall participate in all trainings required by the Department for the Care and Case Management (CCM) Information Technology system and the new Colorado Single Assessment and Person-Centered Support Plan.
 - 1.4.1.1. Staff employed by the Contractor shall participate in training on the Colorado Single Assessment and Person-Centered Support Plan instruments prior to performing the LOC Screen, Needs Assessment, or Person-Centered Support Plan.
 - 1.4.1.2. **DELIVERABLE:** Completed Case Management Training on the Colorado Single Assessment, or Person-Centered Support Plan.
 - 1.4.1.3. **DUE:** No later than June 15th

1.5. Complaints

- 1.5.1. The Contractor shall develop and maintain a formal complaints procedure, notify Members annually of the procedures, and make the procedure publicly available. Procedures must include requirements for member notification in accordance with 10 CCR 2505-10 9.519.20 and 10 CCR 2505-10 8.605.
- 1.5.2. The Contractor shall receive, document and track any complaint received by the Contractor as it relates to the services provided through this Contract to include, but not limited to, general business functions, administration, State General Funded Programs, and case management functions outlined in this Contract. Complaints received outside of the scope of this Contract shall not be included. Documentation shall consist of a complaint log that includes the date of complaint, name of the complainant, the nature of the complaint and the date and description of the resolution.
- 1.5.3. The Contractor shall submit all complaints to the Community Advisory Committee for review, feedback and input on resolving complaints.

- 1.5.4. The Contractor shall analyze complaints for trends quarterly and shall submit all complaint-oriented trends observed since the Effective Date of this Contract and the remedial actions taken to address them to the Department.
- 1.5.5. Trend analysis shall include an examination of information including, but not limited to:
 - 1.5.5.1. A comparison of complaint types and number of complaints over a period of time.
 - 1.5.5.2. Number of type of complaint against the Contractor, time, location, individual involved, staff involved, and/or any additional relevant information.
 - 1.5.5.3. An examination of potential reasons for the increase or decrease in complaints by total number, subcontractor, individual, or staff.
 - 1.5.5.4. An examination of preventative measures that can be implemented to reduce the number or frequency of future complaints.
 - 1.5.5.5. Implementation of a plan of action or any future actions to take place.
 - 1.5.5.6. An analysis of whether the plan of action and changes made were effective or if additional changes need to occur.
 - 1.5.5.7. As part of the complaint process the Contractor shall include, but is not limited to, all of the following:
 - 1.5.5.7.1. Document complaints received
 - 1.5.5.7.2. Address substantiated complaints
 - 1.5.5.7.3. Respond to complaints received and document actions taken to resolve and/or mitigate complaints
 - 1.5.5.7.4. Conduct a quarterly trend analysis of all complaints received for the full period of the Contract.
 - 1.5.5.8. The Contractor shall maintain all supporting documentation related to the collection and follow-up to complaints and make it available to the Department upon request.
 - 1.5.5.9. If the Contractor received no complaints during the quarter, the Contractor may submit the Complaint Trends Analysis to the Department identifying no complaints were reported during the quarter.
 - 1.5.5.10. If Contractor received less than five complaints during the quarter and cannot establish a complaint trend, the Contractor may submit the Complaint Trends Analysis to the Department with the complaint log that includes the date of complaint, name of the complainant, the nature of the complaint and the date and description of the resolution.
 - 1.5.5.11. The Contractor shall submit the Complaint Trends Analysis to the Department for review and approval.
 - 1.5.5.11.1. **DELIVERABLE:** Complaint Trend Analysis
 - 1.5.5.11.2. **DUE:** Quarterly, by October 15th, January 15th, April 15th and June 15th of each year.
- 1.6. Continuous Quality Improvement Plan
 - 1.6.1. The Contractor shall create and implement a Continuous Quality Improvement Plan for the contract period. The Continuous Quality Improvement Plan shall include, but not be limited to a description of the following:

- 1.6.1.1. How the Contractor oversees the work performed by Case Managers as outlined in the contract to ensure all tasks are being performed according to the requirements.
- 1.6.1.2. How the Contractor reviews work to determine whether the work is being completed in a correct and high-quality manner.
- 1.6.1.3. How the Contractor identifies and addresses Case Management performance issues.
- 1.6.1.4. How the Contractor notifies the Department of identified performance issues.
- 1.6.1.5. How the Contractor will address at a minimum the following areas: operations, quality controls, staffing, training, and community engagement. Required tasks will be outlined in Department template that will be provided to the Contractor yearly.
- 1.6.1.6. The Contractor shall participate in the Department hosted Quality Community of Practice.
- 1.6.2. The Contractor shall submit the Continuous Quality Improvement Plan to the Department for review, approval, and payment. The Department will establish a regularly scheduled cadence with the Contractor to review and discuss the CQI Plan, data, and agency specific quality dashboard. The Contractor shall review the plan and metrics with the Department annually.
 - 1.6.2.1. **DELIVERABLE:** Continuous Quality Improvement Plan
 - 1.6.2.2. **DUE:** Within 90 Business Days after the Effective Date
- 1.6.3. The Contractor shall review its Continuous Quality Improvement Plan on an annual basis and update the plan as appropriate to account for any changes. The Contractor shall submit the Continuous Quality Improvement Plan Update or document that the plan was reviewed, and changes were not required.
 - 1.6.3.1. **DELIVERABLE:** Continuous Quality Improvement Plan Update
 - 1.6.3.2. **DUE:** Annually, by October 1st
- 1.7. Appeals
 - 1.7.1. The Contractor shall represent the Department and defend any adverse action in accordance with 10 CCR 2505-10 8.500.16 et seq., 10 CCR 2505-10 8.51922, and 10 CCR 2505-10 Sections 8.057 et. seq. in all HCBS, LTHH, PACE, Hospital Back-Up Facilities, and Nursing Facility appeals initiated during this Contract. This section does not apply to State General Fund Programs. The Contractor shall coordinate with the Department for any adverse actions necessitating Department attendance at a hearing.
 - 1.7.1.1. The Contractor shall identify and disclose to the Department immediately, and no later than 45 days prior to a scheduled appeal hearing, any conflict of interest that would interfere with the Contractor's ability to represent the Department in any appeal.
 - 1.7.2. The Contractor shall represent its actions at Administrative Law Judge hearings when the individual or Member appeals a denial or adverse action affecting individual's or Member's program eligibility or receipt of services.
 - 1.7.3. The Contractor shall process appeals in accordance with schedules published by the State of Colorado Office of Administrative Courts and rules promulgated by the Department.
 - 1.7.4. The Contractor shall develop an Appeals Packet which contains all relevant documentation to support the Contractor's denial or adverse action.

- 1.7.5. The Contractor shall develop an Appeals Packet no later than 20 Business Days prior to the date of a scheduled hearing.
- 1.7.6. The Contractor shall submit exceptions when applicable and include all relevant information.
- 1.7.7. The Contractor shall cooperate with the Office of the State Attorney General for any case in which it is involved.
- 1.7.8. The Contractor shall document all appeals where the Contractor attends any hearing in an Administrative Law Court.
- 1.7.9. The Contractor shall make the Appeal Packets available to the Department upon request.
- 1.7.10. The Contractor shall document all Appeals Creation of the Packet and Attendance at the Hearing information, no later than the 10th day of the month following the month when the packet or hearing was completed, and follow-up in the Department prescribed system and maintain detailed documentation. The Department will review internal data reports to verify the number of Appeal Packets completed and number of Hearings attended for payment purposes.
- 1.7.10.1. **PERFORMANCE STANDARD:** 100% of Appeal Packets and Hearings Attended are added to the Department prescribed system monthly by the 10th day of the month following the month when the packet or hearing was completed.
- 1.8. Critical Incidents
 - 1.8.1. Critical Incident Reporting
 - 1.8.1.1. The Contractor shall be responsible for entering critical incident reports (CIR) in the Department prescribed system as soon as possible, but no later than 24 hours (one business day) following notification.
 - 1.8.1.2. The Contractor shall ensure all suspected incidents of abuse, neglect, and exploitation are immediately reported consistent with current statute; Section 19-3-301 through 19-3-318 C.R.S. Colorado Children's Code, Section 18-8-115 C.R.S. (Colorado Criminal Code - Duty to Report a Crime), 18-6.5-108 C.R.S. (Colorado Criminal Code-Wrongs to At-Risk Adults), and Section 26-3.1-102, C.R.S. (Social Services Code-Protective Services).
 - 1.8.1.3. The Contractor shall document all CIR follow-up information in accordance with Department direction in the Department prescribed system and maintain detailed documentation.
 - 1.8.2. Critical Incident Follow-Up Completion and Entry
 - 1.8.2.1. The Contractor shall ensure all CIRs follow-up is completed and entered into the Department's prescribed system within the timelines established by the Department and/or the Department's Quality Improvement Organization.
 - 1.8.2.2. Timelines for follow up are determined by the Department and depend on the type and severity of the CIR. The following are general timelines assigned to remediation and CIR follow up:
 - 1.8.2.2.1. High Priority Follow Up- CIRs which require immediate attention and must be addressed to ensure the immediate health and safety of a waiver participant must be remediated within and responded to in the Department prescribed system within 24-48 hours.

- 1.8.2.2.2. Medium Priority Follow Up – CIRs which require additional information or follow up to ensure appropriate actions are taken and there is no immediate risk to the health and safety of the waiver participant must be completed in the Department prescribed system within three to four Business Days.
- 1.8.2.2.3. Low Priority Follow Up – CIRs that have been remediated by CMAs, have addressed immediate and long-term needs, have implemented services or supports to ensure health and safety and those that have protocols in place to prevent a recurrence of a similar CIR but may require an edit to the CIR or additional information entered into the Department prescribed system. The follow up for CIRs in this category must be completed and entered within five Business Days.
- 1.8.2.3. **PERFORMANCE STANDARD:** 90% of all CIRs assigned follow-up is completed and entered into the Department’s prescribed system within the timelines established by the Department and/or the Department’s Quality Improvement Organization each quarter.

1.9. Investigations

- 1.9.1. The Contractor shall insure all allegations of abuse, neglect, and exploitation for members enrolled in HCBS-CES, HCBS-CHRP, HCBS-DD, HCBS-SLS, State SLS, OBRA-SS, and FSSP are investigated and documented according to the Department’s prescribed system.
- 1.9.2. Investigations shall include, but is not limited to: examination of Critical Incident Reports, log notes, and medical documentation related to the member; documented interviews with the waiver participant, guardian, and support staff as appropriate; documentation regarding any questions not resolved by a law enforcement or county investigation (e.g., provider training, program management supervision, etc.); documentation of follow-up, preventative strategies and outcomes of reviews and assessments regarding the allegations and incident; the examination incident report and preliminary results of the investigation, a summary of the investigative procedures utilized, the full investigative finding, the actions taken, and Human Rights Committee review of the investigative report and the action taken on recommendations made by the committee.

1.10. Human Rights Committee (HRC)

- 1.10.1. The Contractor shall establish and facilitate a Human Rights Committee (HRC) pursuant to §25.5-10-209(h), C.R.S. and 10 C.C.R. 2505-10 Section 8.608.5 et seq. The Contractor shall maintain qualifications for each member of the HRC and make it available to the Department upon request.
- 1.10.2. The Contractor shall submit a list of HRC members annually.
 - 1.10.2.1. **DELIVERABLE:** HRC Member List
 - 1.10.2.2. **DUE:** Annually, by August 15th
- 1.10.3. The Contractor shall notify the Department of any changes to the HRC members within 10 Business Days of the date of change.
 - 1.10.3.1. **DELIVERABLE:** HRC Member Updates
 - 1.10.3.2. **DUE:** Within 10 Business Days of the date of change to the HRC members
- 1.10.4. The Contractor shall establish at least one HRC as a third-party mechanism to safeguard the rights of persons enrolled in HCBS-CES, HCBS-CHRP, HCBS-SLS, HCBS-DD, State SLS,

OBRA-SS, and FSSP. The HRC is an advisory and review body to the administration of the Contractor.

- 1.10.5. The Contractor shall develop policies and procedures to assure that all potential conflicts of interest are addressed. The Contractor shall utilize the Department's required universal documents for all HRC reviews.
- 1.10.6. The Contractor shall orient members regarding the duties and responsibilities of the Human Rights Committee and make this information available to the Department upon request.
- 1.10.7. The Contractor shall provide the HRC with the necessary staff support to facilitate its functions.
- 1.10.8. The Contractor shall keep proper documentation and record of all HRC recommendations and assure that all documentation is a part of the individual's master record.
- 1.10.9. The Contractor shall maintain and submit HRC meeting minutes, attendance logs, and supporting documentation related to an HRC meeting to the Department within 10 Business Days of receiving the request.
- 1.10.10. The Contractor shall notify the Department in writing of any changes to the HRC membership within 10 Business Days.
- 1.10.11. The Contractor shall document all reviews within the Department's prescribed system within 10 Business Days of the date of the HRC review.

2. PRE-ENROLLMENT ACTIVITIES

2.1. Intake, Screening and Referral

- 2.1.1. The Contractor shall perform all intake, screening and referral functions/activities for enrollment into the following waivers and programs:
 - 2.1.1.1. Consumer-Directed Attendant Support Services (CDASS)
 - 2.1.1.2. Family Support Services Program (FSSP)
 - 2.1.1.3. HCBS-BI
 - 2.1.1.4. HCBS-CES
 - 2.1.1.5. HCBS-CHRP
 - 2.1.1.6. HCBS-CIH
 - 2.1.1.7. HCBS-CLLI
 - 2.1.1.8. HCBS-CMHS
 - 2.1.1.9. HCBS-DD
 - 2.1.1.10. HCBS-EBD
 - 2.1.1.11. HCBS-SLS
 - 2.1.1.12. Hospital Back-Up
 - 2.1.1.13. In Home Supports and Services (IHSS)
 - 2.1.1.14. Intermediate Care Facilities for Individuals with Intellectual and Developmental Disabilities (ICF/IID)

- 2.1.1.15. Nursing Facilities
- 2.1.1.16. Omnibus Reconciliation Act of 1987 Specialized Services Program (OBRA-SS)
- 2.1.1.17. PACE
- 2.1.1.18. State Supported Living Services Program (State SLS)
- 2.1.2. The Contractor shall perform all intake, screening and referral functions/activities in accordance with §25.5-6-104, C.R.S. and 10 CCR 2505-10, Sections 8.500.1 and 8.393.2.B. et seq., shall include, but not limited to, the following:
 - 2.1.2.1. Facilitating the Medicaid application process and responding to all referrals of potentially eligible individuals within two Business Days of receipt of the referral.
 - 2.1.2.2. Processing information regarding an individual's Medicaid eligibility within two Business Days of receipt from the eligibility site.
 - 2.1.2.3. Ask referring agencies to complete and submit an intake and screening form to initiate the process.
 - 2.1.2.4. Providing information and referral to other agencies as needed.
 - 2.1.2.5. Making initial contact with individuals to include a preliminary screening in the following areas:
 - 2.1.2.5.1. An individual's need for LTSS.
 - 2.1.2.5.2. An individual's need for referral to other programs or services.
 - 2.1.2.5.3. An individual's eligibility status for financial and program assistance.
 - 2.1.2.5.4. The need for a Level of Care Screen and Needs Assessment.
 - 2.1.2.5.5. Maintain individual and Member records including documentation of the referrals and outcome utilizing the Department's prescribed system.
 - 2.1.2.5.6. The Contractor shall ensure documentation includes the individual's need for LTSS and/or the individual's request for a Level of Care Screen and Needs Assessment, even though the intake screening indicates the individual may not be eligible for LTSS.
 - 2.1.2.5.7. Individuals shall be notified at the time of the decision of their application for publicly funded LTSS that they have the right to appeal actions of the Contractor according to 10 CCR 2505-10 section 8.5007 and 8.519.22 et seq. The notification shall include the right to request a fair hearing before an Administrative Law Judge.
 - 2.1.2.6. **PERFORMANCE STANDARD:** 100% of Referrals are entered into the Department prescribed system within two Business Days of the Referral receipt date.
- 2.2. Individual/Member Records
 - 2.2.1. The Contractor shall:
 - 2.2.1.1. Comply with all reporting and billing policies and procedures established by the Department, document individual and Member records within the Department's prescribed systems and adhere to the system requirements provided by the Department for these systems. Systems include, but are not limited to, the Colorado interChange Medicaid Management Information System (MMIS) and its subsystems: Bridge HCBS

PAR subsystem and the Care and Case Management (CCM) System. The Contractor shall also have access to member eligibility, PAR, and claims data through reporting provided through a COGNOS data query application.

- 2.2.1.2. Maintain individual and Member records within the Department's prescribed systems for the purposes of individual and Member information management.
- 2.2.1.3. Maintain accurate and detailed documentation of all case management and State General Fund Program activities required through the Contract.
- 2.2.1.4. Maintain accurate and detailed supporting documentation of all activities required through this Contract to substantiate reimbursement and make all documentation available to the Department upon request if not documented within the Department's prescribed systems.
- 2.2.1.5. Correct 100% of data errors, discovered by the Department, and confirm the accuracy of the data it enters into the Department prescribed system within 10 Business Days of notification from the Department of an error.
- 2.2.1.5.1. **PERFORMANCE STANDARD:** 100% of data errors corrected within 10 Business Days of notification.

2.3. Developmental Disability and Delay Determinations

- 2.3.1. The Contractor shall determine whether an applicant meets the definition of an Individual with a Developmental Disability or Delay as defined under 10 CCR 2505-10, section 8.600.4 et seq. and 8.508.20T et seq., in accordance with 10 C.C.R. 2505-10 section 8.607.2 et seq.
- 2.3.2. The Contractor may expedite psychological or adaptive behavior testing for Developmental Disability Determinations requested to complete PASRR Level II assessments for individuals residing in skilled nursing facilities when there are delays due to issues identifying a provider or scheduling testing with a provider.
 - 2.3.2.1. The Contractor shall maintain all supporting documentation related to the expedited testing for DD Determination and make it available to the Department upon request.
- 2.3.3. The Contractor shall complete the individual's determination record and assessment record in the Department prescribed system with all applicable dates and information within 10 Business Days after a determination is complete.
- 2.3.4. The Contractor shall maintain the individual's determination, documents, and request forms and make them available to the Department upon request or to another CMA upon transfer.
- 2.3.5. The Contractor shall ensure that all determinations are complete, in accordance with Department regulations, and the individual has been determined to have a disability or delay prior to enrollment into HCBS-DD, HCBS-SLS, HCBS-CHRP, HCBS-CES, State SLS, FSSP, and OBRA-SS.
- 2.3.6. Individuals shall be notified at the time of the decision of the determination that they have the right to appeal actions of the Contractor to 10 CCR 2505-10 sections 8.500.16 et seq., 8.519.22 et seq., and 8.393.3.A.b et seq. The notification shall include the right to request a fair hearing before an Administrative Law Judge.

2.4. Waiting List Management

- 2.4.1. The Contractor shall maintain a program specific waiting list within the Department's prescribed system for all eligible individuals for whom funding is not available. Waiting lists

may be applicable for HCBS-DD, State SLS, and FSSP dependent on available funding. The Contractor shall not maintain a waiting list for any of the other programs included within this Contract. When funding has been made available for an individual the contractor will remove the person from the “As Soon As Available” (ASAA) waiting list within 10 Business Days.

- 2.4.2. The name of a person eligible for the program shall be placed on the waiting list by the Contractor making the eligibility determination.
- 2.4.3. When an eligible person is placed on the waiting list for Waiver services, a written notice of action including information regarding individual rights and appeals shall be sent to the person or the person’s legal guardian in accordance with the provisions of 10 C.C.R. 2505-10 8.519.22 et seq.
- 2.4.4. The placement date used to establish a person's order on an HCBS waiver waiting list shall be:
 - 2.4.4.1. The date on which the person was initially determined to have a developmental disability by the Contractor; or
 - 2.4.4.2. The 14th birth date if a child is determined to have a developmental disability by the Contractor prior to the age of 14.
- 2.4.5. When an individual is eligible for a program and funding is not available, the Contractor shall:
 - 2.4.5.1. Verify demographic information.
 - 2.4.5.2. Compile and correct data.
- 2.4.6. The Contractor shall complete data entry of Waiting List record into the Department prescribed system within 10 Business Days of any addition or change to the Waiting List.
- 2.4.7. The Contractor shall conduct and document, in the Department prescribed case management system, an annual follow-up with individuals 18 and older for all HCBS waivers with a Waiting List timeline of ASAA, Safety Net (SN), or “see date” to update changes in demographic information and ensure the individual is appropriately identified on waiting lists for the program and services the individual is eligible to receive.
 - 2.4.7.1. **PERFORMANCE STANDARD:** One 100% of HCBS individuals 18 and older with an ASAA, SN, or “see date” timeline on the Waiting List are contacted annually.
- 2.5. Program Enrollment from the Waiting List
 - 2.5.1. HCBS-DD Enrollment from the Waiting List
 - 2.5.1.1. When an enrollment becomes available from the HCBS-DD Waiting List, the Department will notify the Contractor of the individual who will be offered an enrollment by the order of selection date.
 - 2.5.1.2. The Contractor shall notify the individual of the enrollment offer within five Business Days. The Contractor shall make three attempts to contact the individual within a 30-calendar day period. The Contractor shall document in the Departments prescribed system all attempts to contact the individual for the enrollment offer. If the individual does not respond to the offer of enrollment, the Contractor shall change the individuals waiting list timeline to “Safety Net”.

- 2.5.1.3. Individuals shall be notified at the time of the enrollment offer that they have the right to appeal the actions of the Contractor to 10 CCR 2505-10 sections 8.500.16 et seq. and 8.393A et seq. The notification shall include the right to request a fair hearing before an Administrative Law Judge.
- 2.5.2. HCBS-DD Waiting List Enrollment Capacity Building
 - 2.5.2.1. As appropriated and earmarked by the General Assembly, the Contractor may receive capacity building funding to support the enrollment of members into the HCBS-DD waiver from the waiting list.
 - 2.5.2.2. The Contractor shall receive written notification of any capacity building funding for individuals enrolling into the HCBS-DD waiver from the waiting list.
 - 2.5.2.3. If funding is allocated, the Contractor shall report how the capacity building funding was used to support the enrollment of the authorized Member(s) into the HCBS-DD waiver on a template developed by the Department. Funding must be used to support Member enrollment in the following categories:
 - 2.5.2.3.1. Staffing Costs
 - 2.5.2.3.2. Recruiting and hiring
 - 2.5.2.3.3. Professional development
 - 2.5.2.3.4. Equipment and supplies
 - 2.5.2.3.5. Information Technology
 - 2.5.2.3.6. Program Costs
 - 2.5.2.3.7. Advertising
 - 2.5.2.3.8. Equipment and supplies
 - 2.5.2.4. **DELIVERABLE:** Capacity Building Funding Expenses
 - 2.5.2.5. **DUE:** Quarterly, if funding is allocated, by October 31st, January 31st, April 30th, and June 15th or the Fiscal Year end close date determined by the Department
- 2.5.3. FSSP Enrollment from the Waiting List
 - 2.5.3.1. In cooperation with the local Family Support Council, the Contractor shall develop procedures for determining how and which individuals on the Waiting List will be enrolled into FSSP. These procedures must comply with Department regulations on waiting list and prioritization of funding.
 - 2.5.3.2. The Contractor shall select individuals from the waiting list to enroll into FSSP in accordance with 10 CCR 2505-10 8.613(D).
- 2.5.4. State SLS Enrollment from the Waiting List
 - 2.5.4.1. The Contractor shall develop procedures for determining how and which individuals on the waiting list will be enrolled into the State SLS program in accordance with 10 C.C.R. 2505-10 Section 8.501.7. These procedures shall be made available to the Department upon request and used to select individuals from the waiting list to enroll into State SLS.
- 2.5.5. Waiting List Records Maintenance

- 2.5.5.1. The Contractor shall remove individuals from the Waiting List after an enrollment is authorized to the individual and the individual or guardian accepts or refuses the authorization for enrollment within 10 Business Days after the individual or guardian's response or the last communication attempt.
- 2.5.5.2. If an individual or guardian declines an enrollment, the Contractor shall enter the reason for declining an enrollment into the Department prescribed system Waiting List record within 10 Business Days of the enrollment being declined.
- 2.5.5.3. The Contractor shall provide information and referrals to individuals, families and/or guardians at the time of the annual follow-up.
- 2.5.5.4. The Contractor shall continue to refer individuals on the Waiting List to other community resources that may be available and inform individuals of their choice of providers, waivers, and services.
- 2.5.5.5. The Contractor shall provide assistance completing Medicaid financial applications or other public assistance program applications at the time assistance is requested by the individual, family, or guardian.
- 2.5.5.6. Individuals shall be notified at the time of the enrollment authorization that they have the right to appeal actions of the Contractor as described in 10 CCR 2505-10 section 8.500.16 et seq., 8.519.22 et seq., and 5.393.A.2 et seq. The notification shall include the right to request a fair hearing before an Administrative Law Judge.
- 2.6. **Compilation and Correction of Waiting List Data**
 - 2.6.1. The Contractor shall correct one hundred percent (100%) of Waiting List data errors, discovered by the Department within 10 Business Days of notification from the Department of an error.
 - 2.6.1.1. **PERFORMANCE STANDARD:** 100% of Waiting List data corrected within 10 Business Days of notification.
- 2.7. **Authorization and Reporting of HCBS-DD Enrollments**
 - 2.7.1. The Contractor shall obtain prior authorization from the Department for all enrollments into the HCBS-DD waiver.
 - 2.7.2. In accordance with 10 CCR 2505 Section 8.500.7.E, the Contractor shall inform the Department of all vacancies in the HCBS-DD waiver. Vacancies shall be submitted to the Department monthly on the date and template prescribed by the Department.
 - 2.7.3. Individuals shall be notified at the time of the enrollment authorization that they have the right to appeal actions of the Contractor to 10 CCR 2505-10 section 8.519 et seq. The notification shall include the right to request a fair hearing before an Administrative Law Judge.
 - 2.7.3.1. **DELIVERABLE:** HCBS-DD Vacancy Reporting
 - 2.7.3.2. **DUE:** Monthly, by the 15th on the template prescribed by the Department
 - 2.7.4. The Contractor shall report all enrollment dates or changes to enrollment status for the HCBS-DD waiver to the Department monthly on the date and template prescribed by the Department.
 - 2.7.4.1. **DELIVERABLE:** HCBS-DD Enrollment Date and Enrollment Change Reporting

2.7.4.2. **DUE:** Monthly, by the 15th on the template prescribed by the Department

3. SCREENING AND ASSESSMENT

- 3.1. The Contractor shall perform the Level of Care (100.2) Assessment as indicated in Section 3.2 or the Level of Care Screen and Needs Assessment as indicated in Section 3.3 for each Member as directed by the Department. The Contractor shall not perform both a Level of Care Assessment (100.2) and a Level of Care Screen and Needs Assessment for the same Member unless directed to do so by the Department.
- 3.2. Level of Care Assessment (100.2)
 - 3.2.1. The Contractor shall provide staff that meet the case manager qualifications set forth in state statutes and regulations to perform all Level of Care Assessments.
 - 3.2.2. The Contractor shall utilize and conduct the HCPF prescribed tools for the Initial Level of Care Assessment for all new applicants to the HCBS waivers, PACE, Nursing Facilities, Hospital Back-Up, LTHH only, and ICF-IDD. Initial Level of Care Assessment include the following Assessment Event types: Initial Review, HCBS-DD Waitlist, Deinstitutionalization (DI), and Reverse Deinstitutionalization. Continued Stay Review Level of Care Assessments include the following Assessment Event types: Continued Stay Review and Unscheduled Review.
 - 3.2.3. An Unscheduled Review Assessment Event Type shall be utilized when a Level of Care Assessment is completed due to a significant change in the Member functioning and support needs including documented medical conditions, post hospitalization, or significant change in activities of daily living.
 - 3.2.4. The Contractor shall conduct an Initial Level of Care Assessment in accordance with the following timelines:
 - 3.2.4.1. 10 Business Days for individuals residing in the community, upon completion of the DD determination, when the individual requests HCBS waiver services, and upon verifying Medicaid eligibility or submission of a Medicaid application.
 - 3.2.4.2. Five Business Days from the date of referral for individuals residing in a nursing facility or ICF-IID.
 - 3.2.4.3. Two Business Days from the date of referral for individuals residing in a hospital.
 - 3.2.4.4. 10 Business Days after receiving confirmation that the Medicaid application has been received by the county Department of Human or Social Services for individuals residing in the community.
 - 3.2.4.5. 10 Business Days after receiving a referral from a provider for the PACE.
 - 3.2.4.6. 5 Business Days after receiving a completed referral from the nursing facility.
 - 3.2.4.7. 5 Business Days after receiving a completed approval for the CLLI Waiver.
 - 3.2.4.8. Two Business Days after receiving a completed referral from the hospital.
 - 3.2.5. The Contractor shall enter and verify the evaluation into the Department's prescribed system within 10 Business Days of completing the evaluation.
 - 3.2.5.1. **PERFORMANCE STANDARD:** Initial Level of Care Assessment

- 3.2.5.2. **DUE:** Within 10 Business Days after completing the evaluation. Contractor shall verify that an individual needs an institutional level of care by receiving a Professional Medical Information Page (PMIP) signed by a medical professional and dated no earlier than six months from the certification start date and no later than 90 days from the evaluation date of an Initial Level of Care Assessment; and within 90 calendar days of the certification start date and before the certification end date for a Continued Stay Review (CSR) for all applicants and individuals currently receiving services through the Intermediate Care Facilities for Individuals with Intellectual Disabilities (ICF-IID). Contractor shall conduct all Level of Care Evaluations in accordance with regulations.
- 3.2.6. The Contractor shall conduct a Continued Stay Review Assessment every 12 months for Clients who are continually enrolled for the HCBS waivers, PACE, Nursing Facilities, Hospital Back-Up, LTHH only, and ICF-IDD. The Contractor shall enter the review into the Department's prescribed system within 10 Business Days of completing the evaluation.
- 3.2.6.1. **PERFORMANCE STANDARD:** Enter and verify Continued Stay Reviews within 10 Business Days after completing the assessment.
- 3.2.7. The Contractor shall enter and verify the Continued Stay Review into the Department's prescribed system within 10 Business Days of completing the assessment. Failure by Contractor to complete the annual Level of Care Assessment shall cause a break in payment authorization for waiver services for the individual or Member.
- 3.2.7.1. The Contractor shall ensure that this break in payment authorization shall not affect the continued delivery of waiver services to the individual or Member. Service costs incurred during a break in payment authorization are non-allowable costs.
- 3.2.7.2. The Contractor shall bear the sole financial responsibility of all costs incurred during this break in payment authorization and shall be responsible for reimbursing providers for any loss in funding as a result of the break in payment authorization.
- 3.2.8. The Contractor shall notify all providers of the discontinuation of services no later than 11 calendar days prior to the certification end date that services shall not be authorized past the certification end date.
- 3.3. Level of Care Screen and Needs Assessment
- 3.3.1. The Contractor shall perform all Initial and Annual Reassessment Level of Care Screens and Needs Assessments for the operation of a CMA in accordance with §25.5-6-104, C.R.S., 10 CCR 2505-10, Section 8.401, and 10 CCR 2505-10, Sections 8.393.2 et seq.
- 3.3.1.1. The Initial and Reassessment Level of Care Screen shall include and ensure, but not limited to, the following:
 - 3.3.1.1.1. A verification of Long-Term Care (LTC) Medicaid Financial eligibility or LTC Medicaid application submission.
 - 3.3.1.1.2. All Level of Care Screens are conducted in person with the individual or Member, at minimum, and in the place where the individual or Member resides.
 - 3.3.1.1.3. Needs Assessment shall be conducted in person or virtually based on the Member's preference.
 - 3.3.1.1.4. The Contractor shall verify that a Member needs an institutional level of care by receiving a PMIP signed by a medical professional and dated no earlier than six months from the certification start date and no later than 90 days from the evaluation

date of an Initial Level of Care Screen; and within 90 Calendar Days of the certification start date and before the certification end date for a Reassessment for all individuals and Members currently receiving services through Hospital Back-Up Unit (HBU), Nursing Facility (NF), Intermediate Care Facility for Individuals with Intellectual and Developmental Disabilities (ICF-IDD), and Program for All-Inclusive Care for the Elderly (PACE).

- 3.3.1.1.5. A review of all supportive information related to the Level of Care for the Member to include, but not limited to documentation and interviews.
- 3.3.1.1.6. Communicating Level of Care Eligibility status to the appropriate eligibility site.
- 3.3.1.1.7. Representing the Department in all appeals relevant to a LTSS program eligibility.
- 3.3.1.1.8. A review of HCBS waiver Target Criteria for applicant or Member participation.
- 3.3.1.1.9. Determine individual or Member Level of Care Eligibility for enrollment in an HCBS Waiver, PACE, LTHH, HBU, Nursing Facility admission, or ICF-IDD admission. Analyzing the information obtained to determine the most appropriate responses to the Level of Care Screen questions.
- 3.3.1.1.10. Providing notice of action to Members of all appealable actions related to their eligibility in a LTSS program.
- 3.3.1.1.11. Documenting and maintaining Level of Care Screens and Needs Assessments, including all relevant information, utilizing the Department's prescribed system within the timeframes established in 10 CCR 2505-10, Sections 8.393.2.C et seq.
- 3.3.2. Level of Care Screen
 - 3.3.2.1. The Level of Care Screen shall include the following event types:
 - 3.3.2.1.1. Initial
 - 3.3.2.1.2. Reassessment
 - 3.3.2.1.3. Off-Cycle Review
 - 3.3.2.2. The Contractor shall conduct an Initial Level of Care Screen prior to enrolling in the following programs:
 - 3.3.2.2.1. HCBS Waivers
 - 3.3.2.2.2. PACE
 - 3.3.2.2.3. Nursing Facilities
 - 3.3.2.2.4. Hospital Back-Up
 - 3.3.2.2.5. LTHH (only)
 - 3.3.2.2.6. ICF-IDD
 - 3.3.2.3. The Contractor shall conduct an Initial Level of Care Screen in accordance with the following timelines:
 - 3.3.2.3.1. Within 10 Business Days after receiving confirmation that the Medicaid application has been received by the county Department of Human or Social Services for individuals residing in the community.
 - 3.3.2.3.2. Within 10 Business Days after receiving a referral from a provider for PACE.

- 3.3.2.3.3. Within five Business Days after receiving a completed referral from the nursing facility.
- 3.3.2.3.4. Within five Business Days from the date of referral for individuals residing in a nursing facility or ICF-IID.
- 3.3.2.3.5. Within five Business Days after receiving a completed approval for the CLLI Waiver.
- 3.3.2.3.6. Within two Business Days after receiving a completed referral from the hospital.
- 3.3.2.4. The Initial Level of Care Screen shall include, but is not limited to the following:
 - 3.3.2.4.1. A review of financial eligibility information
 - 3.3.2.4.2. A review of the Level of Care Screen information
 - 3.3.2.4.3. A review of relevant medical, educational, social, or other assessment records or information when applicable.
- 3.3.3. Annual Level of Care Screen Reassessment
 - 3.3.3.1. The Contractor shall conduct an Annual Reassessment Level of Care Screen no earlier than 90 days prior to and no later than 30 days prior to the current Level of Care Screen certification end date.
 - 3.3.3.2. An Off-Cycle Review event type shall be utilized when a Level of Care Screen is needed outside of the Annual Reassessment cycle, due to a material change in the Member's condition that can reasonably be expected to result in a change in the Level of Care or Target Criteria eligibility.
 - 3.3.3.2.1. In the event the Contractor fails to conduct the Annual Reassessment Level of Care Screen for a Member enrolled in a HCBS waiver, the Contractor shall be responsible for reimbursing any providers for services rendered during the gap in eligibility.
 - 3.3.3.2.2. The Contractor shall follow 10 C.C.R. 2505-10, Section 8.393.6 et seq. when transferring a Member from one county to another county or from one Defined Service Area to another Defined Service Area.
 - 3.3.3.2.3. The Contractor shall take action regarding Member Medicaid eligibility within one Business Day of receipt from the eligibility site.
 - 3.3.3.2.4. In the event the Contractor fails to discontinue waiver services for a Member found ineligible for a HCBS waiver, the Contractor shall be responsible for reimbursing any providers for services rendered.
 - 3.3.4. **PERFORMANCE STANDARD:** 100% of Initial Level of Care Screen and Annual Level of Care Screen assessments are conducted within required timelines at 10 CCR 2505-10, Sections 8.393.2.C et seq. and are entered into the Department prescribed system. The Level of Care Screen must be entered into the Department's prescribed system following the timelines at 10 CCR 2505-10 Section 8.393.2.C et seq.
 - 3.3.4.1. Members shall be notified at the time of the eligibility decision that they have the right to appeal actions of the Contractor to 10 CCR 2505-10 Section 8.519.22 et seq. The notification shall include the right to request a fair hearing before an Administrative Law Judge.
 - 3.3.5. Needs Assessment

- 3.3.5.1. The Contractor shall conduct an Initial and Annual Needs Assessment for the following programs:
 - 3.3.5.1.1. HCBS Waivers
- 3.3.5.2. The Contractor shall conduct a Needs Assessment (Initial) prior to enrollment into a HCBS waiver, annually (Reassessment), and as needed (off-cycle) by the Member due to a material change of situation or condition that may reasonably result in a change in the support needs of the Member. Members who are financially eligible, choose to enroll in HCBS waiver services, and meet the required Level of Care for LTSS, and waiver Target Criteria for one of more HCBS waivers must have a Needs Assessment conducted.
 - 3.3.5.2.1. The Contractor shall conduct a Needs Assessment with Members to determine the level of support needed and identify personal preferences and goals.
 - 3.3.5.2.2. The Contractor shall explain to the member, the option to respond to required questions only or the choice to answer additional voluntary questions in the Needs Assessment.
- 3.3.5.3. The Contractor shall conduct and document a Needs Assessment for Members in accordance with the following timelines:
 - 3.3.5.3.1. Within 15 Business Days after determination of Level of Care and Financial eligibility for HCBS Waivers.
 - 3.3.5.3.2. The Needs Assessment shall be administered prior to the Person-Centered Support Plan being developed with the Member; however, both the Needs Assessment and Person-Centered Support Planning may occur during a single session with the Member. However, they may also be completed over two or more sessions, if the Member needs or prefers to do so.
 - 3.3.5.3.3. The Needs Assessment shall be conducted at time, modality, and location convenient to the Member and should include people of the Member's identified preference.
- 3.4. Supports Intensity Scale-A Assessment
 - 3.4.1. The Contractor shall conduct a Supports Intensity Scale-A (SIS) assessment for all HCBS-DD and HCBS-SLS enrollments and reassessments when criteria set forth at 10 C.C.R. 2505-10 Section 8.612.1 et seq. are met. The Contractor shall not be reimbursed for a SIS assessment prior to the individual being determined eligible for a waiver through the Level of Care Screen and confirmation of financial eligibility. The Contractor shall not be reimbursed for SIS reassessments without prior authorization from the Department to conduct the SIS reassessment.
 - 3.4.2. The Contractor shall conduct all initial SIS Assessments within 60 calendar days from the date of the Initial Level of Care Screen. The Contractor shall conduct all SIS reassessments within 60 calendar days from the date of approval from the Department.
 - 3.4.3. The Contractor shall enter the SIS Assessment into SIS-A Online within 65 calendar days of completing the Level of Care Screen.
 - 3.4.4. The Contractor shall complete the SIS-A assessment and enter it into SIS-A Online prior to the Prior Authorization Review (PAR) Date.
- 3.5. HCBS-CES Applications

- 3.5.1. The Contractor shall complete initial and CSR applications for persons applying for the HCBS-CES waiver as set forth by the Department's prescribed guidelines.
- 3.5.2. Initial HCBS-CES applications shall be submitted to the designated entity for review no more than 30 calendar days after the initial LOC is completed or no more than 30 calendar days after the Applicant/family has chosen enrollment onto the HCBS-CES waiver.
- 3.5.3. CSR HCBS-CES applications shall be submitted to the designated entity in accordance with timelines as set forth by the Department in order to prevent any break in services.
- 3.5.4. The Contractor shall maintain all HCBS-CES applications and supporting documentation and make it available to the Department upon request.
- 3.6. Support Need Level Assessment
 - 3.6.1. The Contractor shall conduct a Support Need Level Assessment for all HCBS-CHRP enrollments and re-assessments as set forth by the Department's prescribed guidelines.
 - 3.6.2. The Contractor shall conduct an initial Support Need Level Assessment within forty-five (45) calendar days from the date of the Initial Level of Care Screen. The Contractor shall conduct all reassessments as necessary individual's needs change.
 - 3.6.3. The Contractor shall submit a list of all completed HCBS-CHRP Support Need Level Assessments on a template prescribed by the Department.
 - 3.6.3.1. **DELIVERABLE:** Completed HCBS-CHRP Support Need Level Assessment List
 - 3.6.3.2. **DUE:** Monthly, by the 15th
 - 3.6.4. The Contractor shall maintain all Support Need Level Assessments and supporting documentation and make it available to the Department upon request.
 - 3.6.4.1. **PERFORMANCE STANDAND:** Support Need Level Assessment
 - 3.6.4.2. **DUE:** Within 10 Business Days of the Department's request

4. STATE GENERAL FUND PROGRAM OBLIGATIONS

- 4.1. Service and Support Requirements
 - 4.1.1. The Contractor shall administer the three State General Fund Programs: State SLS, OBRA-SS, and FSSP and purchase services and supports for persons determined to be eligible under this Contract. If the Contractor has been determined to be the only willing and qualified provider by the Department for the Defined Service Area, the Contractor must administer the State Programs and purchase and/or provide services and supports for persons determined to be eligible under this Contract. The Contractor shall not be responsible for guaranteeing services to eligible persons under this Contract if there are no Providers available to provide services and supports. The Contractor must ensure separation of case management responsibilities and the provision of services for both State SLS and OBRA-SS.
 - 4.1.2. The Contractor shall ensure that written notifications are provided to individuals and Members informing them of their rights and the potential influence the Contractor has on the Service Planning process, such as exercising free choice of providers.
 - 4.1.3. The Contractor shall provide the individual, Members, and/or guardian with written information about how to file a provider agency complaint as well as how to make a complaint against the Contractor.

- 4.1.4. The Contractor shall have procedures for a dispute resolution process, as described in 10 C.C.R. 2505-10, Section 8.605.2 et seq. and 8.552.9 et seq., when an action to terminate, change, reduce or deny services is initiated by the provider service agency.
- 4.2. State General Fund Service Expenditure Reporting
 - 4.2.1. The Contractor shall report all State SLS, FSSP, and OBRA-SS direct service expenditures on the template provided by the Department. All services must be reported and reimbursed within the fiscal year the service is provided.
 - 4.2.1.1. **DELIVERABLE:** State General Fund Program Service Expenditure Reports
 - 4.2.1.2. **DUE:** Monthly, by the 15th of each month or Fiscal Year end close date determined by the Department for the month of June.
 - 4.2.2. Adjustments to direct service expenditures must be added to the next direct service expenditure report submitted by the Contractor at the time of discovery. If the adjustment is identified after the close of the fiscal year the service is rendered, the Contractor must report the adjustment to the Department within 10 Business Days of discovery and a check must be sent to the Department with the amount of the overpayment in addition to details about the overpayment to include member name, program, services, and dollar amount.
 - 4.2.3. The Contractor shall verify all services are supported with required documentation as required in 10 C.C.R. 2505-10 Section 8.613.J.2 et seq. and 10 C.C.R. 2505-10 Section 8.501.3 et seq.
- 4.3. State Supported Living Services (State SLS)
 - 4.3.1. General Requirements
 - 4.3.1.1. The Contractor shall operate the State SLS program pursuant to 10 C.C.R. 2505-10 Section 8.501 et seq.
 - 4.3.1.2. The Contractor shall not add surcharges to the purchase of covered services for State SLS.
 - 4.3.1.3. The Contractor shall provide a list of qualified providers for all services to Members and families, during the State SLS Individual Support Plan process, and to other interested parties upon request.
 - 4.3.1.4. The Contractor shall provide or subcontract with local service providers to provide community services to individuals enrolled in State SLS who meet the intellectual and developmental disabilities criteria and the eligibility requirements for the specific program required in 10 C.C.R. 2505-10 Section 8.501 et seq.
 - 4.3.1.5. The Department will notify the Contractor of the target number of individuals that shall be served through State SLS prior to the start of each State Fiscal Year (SFY). The Contractor may choose to enroll more individuals in State SLS than authorized, ensuring all individuals can be served within the funding allocated. Target caseload is calculated using the unique number of members that receive direct services during the contract period.
 - 4.3.2. State SLS Eligibility
 - 4.3.2.1. The Contractor shall determine eligibility for the State SLS program pursuant to 10 C.R.S. 2505-10 Section 8.501.2(2)(a) et seq.

- 4.3.2.2. Eligibility for the State SLS program does not guarantee the availability of services and supports.
- 4.3.3. State SLS Individual Support Plans
 - 4.3.3.1. Pursuant to 10 C.R.S. 2505-10 Section 8.501.4.E.6 et seq. all State SLS Members must have a State SLS ISP.
 - 4.3.3.2. The Contractor shall develop a State SLS Individual Support Plan (State SLS ISP) within 10 Business Days after an initial Individual Support Plan (ISP) meeting for those individuals not established with the Contractor and with a Developmental Disability determination at time of referral. The Contractor shall have up to 10 Business Days to complete additional meetings and/or assessments that allow for the creation of the State SLS ISP during this time. The Contractor shall ensure the State SLS ISP is signed by all required parties prior to implementation.
 - 4.3.3.3. The State SLS ISP shall be developed through an in-person meeting that includes, at a minimum, the individual seeking services and the Contractor.
 - 4.3.3.4. The Contractor shall utilize the ISP within the Department's prescribed system.
 - 4.3.3.5. The Contractor shall document and finalize all ISP information in the Department's prescribed system within 10 Business Days of the date of the initial ISP meeting.
 - 4.3.3.5.1. **PERFORMANCE STANDARD:** The Contractor shall ensure that 100% of the State SLS ISPs are developed within 10 Business Days of the individual's referral to a State General Fund program or after the initial ISP meeting.
 - 4.3.3.6. The State SLS ISP shall be effective for no more than one year and reviewed by the Contractor at least every six months in an in-person monitoring contact.
 - 4.3.3.7. If an individual seeks additional supports or alleges a change in need, the Contractor shall review and update the ISP prior to changing the authorized services and supports.
- 4.3.4. State SLS Ongoing Case Management
 - 4.3.4.1. The Contractor shall utilize appropriated funds to perform Case Management duties in accordance with 10 C.C.R. 2505-10 Section 8.501.5(B) et seq.:
 - 4.3.4.1.1. Intake and referral
 - 4.3.4.1.2. Determining program eligibility
 - 4.3.4.1.3. Supporting individuals with learning and accessing other community resources
 - 4.3.4.1.4. Developing a State SLS Individual Support Plan
 - 4.3.4.1.5. Maintaining the determination of eligibility for services and supports
 - 4.3.4.1.6. Providing service and support authorization and coordination
 - 4.3.4.1.7. Program transition coordination
 - 4.3.4.1.8. Case Management, policy and regulation training
 - 4.3.4.1.9. Service records maintenance
 - 4.3.4.1.10. Utilization review
 - 4.3.4.2. The Contractor shall document all ongoing case management activities in detail in the Department's prescribed system within 10 Business Days of the activity.

- 4.3.4.3. The use of mass email communication, robotic and/or automatic voice messages cannot be used to replace the Contractor's required individualized case management activities.
- 4.3.4.4. Monitoring
 - 4.3.4.4.1. Monitoring shall be person centered and include at least one in person contact with the Member at the 6-month review in addition to the annual ISP. Two additional monitoring contacts per year using the individual's selected modality; in person or virtual and should be discussed and determined based on Member preference and need.
 - 4.3.4.4.1.1. The Member's selected modality must be documented within the case notes for each monitoring contact within the Department's prescribed system.
 - 4.3.4.4.2. Monitoring activities shall include, but not be limited to:
 - 4.3.4.4.2.1. Monitoring all services and supports delivered pursuant to the State SLS Individual Support Plan
 - 4.3.4.4.2.2. Assessing the effectiveness of the State SLS supports and services
 - 4.3.4.4.2.3. Assessing if additional State SLS supports and services are needed
 - 4.3.4.4.2.4. Support in assessing if the individual has become eligible for any other resources including community resources and other Medicaid resources
 - 4.3.4.4.2.5. Reviewing health and safety concerns
 - 4.3.4.4.2.6. Reviewing any Critical Incidents
 - 4.3.4.4.3. The Contractor shall document all monitoring activities in detail in the Department's prescribed system within 10 Business Days of the activity.
 - 4.3.4.4.3.1. PERFORMANCE STANDARD: 100% of monitoring activities shall occur at the required quarterly interval.
- 4.3.4.5. State SLS Transfers
 - 4.3.4.5.1. The Contractor shall manage State SLS transfers in accordance with 10 C.R.S 2505-10 Section 8.501.6 et seq.
- 4.3.4.6. State SLS Direct Services
 - 4.3.4.6.1. The Contractor shall utilize appropriated funds to provide or subcontract with providers to provide services to support individuals with an intellectual and developmental disability living in the community in accordance with 10 C.C.R. 2505-10 Section 8.501.4(A-D).
- 4.3.4.7. State SLS Records Maintenance
 - 4.3.4.7.1. The Contractor shall maintain supporting documentation capable of substantiating all expenditures and shall make them available to the Department upon request as required in 10 C.C.R. 2505-10 Section 8.130.2 et seq.
 - 4.3.4.7.2. Receipts, invoices, and service logs must contain, at a minimum: Member name, service description, provider name, first and/or last date of service, service rate, and amount due or paid.

- 4.3.4.7.3. If the Contractor does not maintain supporting documentation in the required format for all services rendered, the Department may recover these funds pursuant to 10 C.C.R. 2505-10 Section 8.076 et seq.
- 4.3.4.7.4. Through ongoing monitoring, the Contractor shall ensure all services reimbursed by the Contractor are rendered by service providers in accordance with the State SLS Individual Support Plan.
- 4.3.4.7.5. The Contractor shall attempt to resolve any discrepancies with the subcontractor/ service provider directly.
- 4.3.4.7.6. The Contractor shall notify the Department of any instances of suspected fraud or waste, and any supporting documentation at the time of discovery.
- 4.3.4.7.7. The Contractor shall notify all service providers acting as subcontractors that all records and supporting documentation related to services rendered through State SLS are subject to inspection and recovery by the Department pursuant to 10 C.C.R. 2505-10 Section 8.076 et seq.

4.4. Omnibus Budget Reconciliation Act of 1987 Specialized Services (OBRA-SS)

- 4.4.1. The Contractor shall provide or arrange for the provision of OBRA-SS to any individual where the Pre-Admission Screening and Resident Review (PASRR) Level II Evaluation identified the need for placement into a nursing facility and need for additional specialized services. The Contractor shall ensure that OBRA-SS are related to the individual's intellectual or developmental disability or related condition and individualized to the resident's needs.

4.4.2. PASRR Level II Evaluation

- 4.4.2.1. The contractor will review the PASRR Level II Evaluations received from the Skilled Nursing Facility or State appointed vendor prior to developing an OBRA-SS Individual Support Plan or providing services.

4.4.3. Maintaining Eligibility and Enrollment

- 4.4.3.1. The Contractor shall enroll individuals into OBRA-SS, as long as the individual resides in a nursing facility, demonstrates a need, and agrees to receive services.
- 4.4.3.2. Upon approval of the nursing facility admission by the State Intellectual Disability Authority and receipt of the Final Notice of Determination, the Contractor shall send referrals to subcontractors for OBRA-SS within 10 Business Days from the date the PASRR Notice of Determination is issued and/or received from the Skilled Nursing Facility or State appointed vendor.
- 4.4.3.3. The Contractor shall maintain Member records within the Department prescribed system. All changes to OBRA-SS enrollments, shall be entered into the Department prescribed system within 10 Business Days of the change. The Department may adjust the number of authorized enrollments based on fluctuating enrollments. If the individual does not receive OBRA-SS within one calendar month the contractor shall inactivate the individual's record in the Department prescribed system.

4.4.4. OBRA-SS Individual Support Plans

- 4.4.4.1. The Contractor shall develop an OBRA-SS Individual Support Plan (ISP) within 10 Business Days after an initial ISP meeting for those individuals not established with the

contractor and with a Developmental Disability determination at time of referral. The Contractor shall have up to 10 Business Days to complete additional meetings and/or assessments that allow for the creation of the OBRA-SS ISP during this time. The Contractor shall ensure the OBRA-SS ISP is signed by all required parties prior to implementation.

- 4.4.4.2. The OBRA-SS ISP shall be developed through an in-person meeting that includes, at a minimum, the individual seeking services and the Contractor.
- 4.4.4.3. The Contractor shall utilize the ISP template within the Department's prescribed System.
- 4.4.4.4. The Contractor shall document and finalize all ISP information in the Department's prescribed system within 10 Business Days of the date of the initial ISP meeting.
- 4.4.4.4.1. **PERFORMANCE STANDARD:** The Contractor shall ensure that 100% of the OBRA-SS Individual Support Plans are developed within 10 Business Days of the individual's referral to a State General Fund program or after the initial ISP meeting.
- 4.4.4.5. The OBRA ISP shall be effective for no more than one year and reviewed by the Contractor at least every six months in an in-person monitoring contact.
- 4.4.4.6. If a member seeks additional supports or alleges a change in need, the Contractor shall review and update the ISP prior to changing the authorized services and supports.
- 4.4.4.7. The Contractor shall maintain all OBRA-SS ISPs and supporting documentation and make them available to the Department upon request.
- 4.4.5. OBRA-SS Ongoing Case Management
 - 4.4.5.1. The Contractor shall utilize appropriated funds to perform Case Management duties to include:
 - 4.4.5.1.1. Intake and referral
 - 4.4.5.1.2. Verifying a PASRR Level II Evaluation and Skilled Nursing Facility residency
 - 4.4.5.1.3. Developing an OBRA-SS Individual Support Plan
 - 4.4.5.1.4. Maintaining the determination of eligibility for services and supports
 - 4.4.5.1.5. Providing service and support authorization and coordination.
 - 4.4.5.1.6. Ensuring there is not a duplication of authorized services with the services provided in the nursing facility.
 - 4.4.5.1.7. Program transition coordination
 - 4.4.5.1.8. Service records maintenance
 - 4.4.5.1.9. Case Management, policy and regulation training
 - 4.4.5.1.10. Utilization review
 - 4.4.5.2. The Contractor shall document all ongoing case management activities in detail in the Department's prescribed system within 10 Business Days of the activity.
 - 4.4.5.3. The use of mass email communication, robotic and/or automatic voice messages cannot be used to replace the Contractor's required individualized case management activities.
- 4.4.6. OBRA-SS Monitoring

- 4.4.6.1. Monitoring shall be person centered and include at least one in person contact with the Member at the 6-month review in addition to the annual ISP. Two additional monitoring contacts per year using the individual's selected modality; in person or virtual, and should be discussed and determined based on Member preference and need.
- 4.4.6.1.1. The Member's selected modality must be documented within the narrative for each monitoring contact within the Department's prescribed system.
- 4.4.6.2. Monitoring activities shall include but not be limited to:
 - 4.4.6.2.1. Monitoring all services and supports delivered pursuant to the OBRA-SS ISP
 - 4.4.6.2.2. Assessing the effectiveness of the supports and services
 - 4.4.6.2.3. Assessing if additional supports and services are needed
 - 4.4.6.2.4. Support in assessing if the individual has become eligible for any other resources including community resources or other Medicaid resources
 - 4.4.6.2.5. Reviewing health and safety concerns
 - 4.4.6.2.6. Reviewing any Critical Incidents
- 4.4.6.3. The Contractor shall document all monitoring activities in detail in the Department's prescribed system within 10 Business Days of the activity.
- 4.4.6.3.1. **PERFORMANCE STANDARD:** 100% of monitoring activities shall occur at the required quarterly interval.
- 4.4.7. OBRA-SS Direct Services
 - 4.4.7.1. The Contractor shall not utilize OBRA-SS funds to purchase mental health related services. The Contractor shall seek provision of, or payment for, mental health services for those individuals through the Medicaid-funded mental health system or other local sources of funding.
 - 4.4.7.2. The Contractor shall not utilize or authorize OBRA-SS funds to provide or purchase services and supports that are covered and provided by the nursing facility
 - 4.4.7.3. The Contractor shall utilize appropriated funds to provide services or subcontract with a provider to support individuals with intellectual and developmental disabilities living in a nursing facility. The Contractor shall not utilize funding for services that are provided by the Nursing Facility through Medicaid reimbursement. Services eligible through OBRA include:
 - 4.4.7.3.1. Assistive Technology
 - 4.4.7.3.2. Behavioral Consultation
 - 4.4.7.3.3. Behavioral Line Services
 - 4.4.7.3.4. Behavioral Counseling
 - 4.4.7.3.5. Behavioral Counseling Group
 - 4.4.7.3.6. Behavioral Plan Assessment
 - 4.4.7.3.7. Day Habilitation - Specialized Habilitation
 - 4.4.7.3.8. Day Habilitation - Supported Community Connections

- 4.4.7.3.9. Dental – Basic
- 4.4.7.3.10. Dental – Major
- 4.4.7.3.11. Mileage
- 4.4.7.3.12. Other Public Conveyance
- 4.4.7.3.13. Prevocational Services
- 4.4.7.3.14. Recreational Facility Fees/Passes
- 4.4.7.3.15. Job Coaching – Individual
- 4.4.7.3.16. Job Coaching – Group
- 4.4.7.3.17. Job Development – Individual
- 4.4.7.3.18. Job Development – Group
- 4.4.7.3.19. Job Placement
- 4.4.7.3.20. Vision
- 4.4.7.4. Services must be provided in accordance with the service definitions found in 10 C.C.R. 2505-10 Section 8.500.94.B et seq.
- 4.4.8. OBRA-SS Records Maintenance
 - 4.4.8.1. The Contractor shall maintain supporting documentation capable of substantiating all expenditures and shall make them available to the Department upon request as required in 10 C.C.R. 2505-10 Section 8.130.2 et seq.
 - 4.4.8.1.1. Receipts or invoices must contain, at a minimum: Member name, service description, provider name, first and/or last date of service, service rate, and amount due or paid.
 - 4.4.8.2. If the Contractor does not maintain supporting documentation in the required format for all services rendered, the Department may recover these funds pursuant to 10 C.C.R. 2505-10 Section 8.076 et seq.
 - 4.4.8.3. Through ongoing monitoring, the Contractor shall ensure all services reimbursed by the Contractor are rendered by service providers in accordance with the OBRA-SS Individual Support Plan.
 - 4.4.8.4. The Contractor shall attempt to resolve any discrepancies with the service provider directly.
 - 4.4.8.5. The Contractor shall notify the Department of any instances of suspected fraud and any supporting documentation at the time of discovery.
 - 4.4.8.6. The Contractor shall notify all service providers that all records and supporting documentation related to services rendered through OBRA-SS are subject to inspection and recovery by the Department pursuant to 10 C.C.R. 2505-10 Section 8.076 et seq.
 - 4.4.8.7. Mental Health Services Prohibited
 - 4.4.8.7.1. The Contractor shall not utilize state funds to purchase mental health related services for individuals with intellectual disabilities who are Medicaid eligible and who also have a Medicaid covered mental health diagnosis.

- 4.4.8.7.2. The Contractor shall seek provision of, or payment for, mental health services for those individuals through the Medicaid funded mental health system or other local sources of funding.

4.5. Family Support Services Program (FSSP)

- 4.5.1. The Contractor shall administer and provide or purchase Family Support Services pursuant to §25.5-10-305, C.R.S. and 10 C.C.R. 2505-10 Section 8.613 et seq.

4.5.2. Eligibility, Needs Assessment, and Prioritization of Families

- 4.5.2.1. The Contractor shall determine individual eligibility for the FSSP pursuant to 10 C.R.S. 2505-10 Section 8.613.C.(1-4).

- 4.5.2.2. After FSSP eligibility has been determined, the Contractor shall conduct an FSSP Needs Assessment prior to authorizing services. The Contractor shall develop a Needs Assessment Tool that is, at a minimum, inclusive of all requirements outlined in 10 C.C.R. 2505-10 Section 8.613.E.7(a-e) and have a documented scoring criteria for the tool. The tool shall be included in the Contractor's policies and procedures.

- 4.5.2.2.1. **DELIVERABLE:** Needs Assessment Tool Template and Scoring Criteria

- 4.5.2.2.2. **DUE:** Annually, by August 15th

- 4.5.2.3. Any revisions to the needs assessment tool template and scoring criteria must be submitted to the Department within 10 Business Days of the updated tool being implemented.

- 4.5.2.4. The Contractor shall assess all families, both on the waiting list as "As Soon As Available" and currently receiving FSSP services, for level of need on an annual basis in accordance with 10 CCR 2505 Section 8.613.E et seq.

- 4.5.2.5. The Contractor shall document all completed FSSP Needs Assessments within the Department's prescribed system within 10 Business Days of completion of the assessment.

- 4.5.2.6. The Contractor shall maintain all Needs Assessment documentation and make them available to the Department upon request.

- 4.5.2.7. The Department will notify the Contractor of the target number of individuals that shall be served through FSSP prior to the start of each State Fiscal Year (SFY). The Contractor may choose to enroll more individuals in FSSP than targeted, ensuring all individuals can be served within the funding allocated. Target caseload is calculated using the unique number of members that receive direct services during the contract period.

4.5.3. Family Support Plans (FSP)

- 4.5.3.1. The Contractor shall ensure that individuals and families enrolled in the FSSP have an individualized Family Support Plan (FSP) which meets the requirements of an Individualized Plan, as defined in Section 25.5-10-202 et seq. and 25.5-10-211 C.R.S. prior to receiving services.

- 4.5.3.2. The Contractor shall develop the FSP within 10 Business Days after an initial Individualized Support Plan (ISP) meeting for those individuals not established with the Contractor and with a Developmental Disability or Delay Determination at the time of referral. The Contractor shall ensure the FSP is signed by all required parties prior to implementation.

- 4.5.3.3. The FSP shall be developed through a meeting that includes, at a minimum, a family representative, and the Contractor.
- 4.5.3.3.1. The Contractor shall ensure that 100% of the FSPs are developed within 10 Business Days of the individual's referral to FSSP or after the initial ISP meeting.
- 4.5.3.3.2. **PERFORMANCE STANDARD:** 100% of the FSPs are developed within 10 Business Days of the individual's referral to FSSP or after the initial ISP meeting.
- 4.5.3.4. The FSP shall be effective for no more than one year.
- 4.5.3.5. If the Member seeks additional supports or alleges a change in need, the Contractor shall review and update the FSP prior to changing the authorized services and supports.
- 4.5.3.6. The Contractor shall document and finalize all FSP information in the Department's prescribed system within 10 Business Days of the initial FSP meeting.
- 4.5.4. FSSP Ongoing Case Management
 - 4.5.4.1. Pursuant to 10 C.R.S 2505-10 Section 8.613.G the Contractor shall provide case management for the FSSP, to include coordination of services provided for individuals with an IDD or Developmental Delay that consists of facilitating enrollment, assessing needs, locating, coordinating and monitoring needed FSSP funded services, and monitoring the effective and efficient provision of services across multiple funding sources.
 - 4.5.4.2. The Contractor shall not charge families to provide direct services and case management for Family Support Services.
 - 4.5.4.3. The Contractor shall provide a list of qualified providers for appropriate services to applicants, Member(s) and families, during the individualized planning process, and to other interested parties upon request.
 - 4.5.4.4. The Contractor shall utilize appropriated funds to perform case management duties in accordance with 10 CCR 2505 8.613.G et seq. to include:
 - 4.5.4.4.1. Development, application assistance, and annual re-evaluation of the Family Support Plan (FSP) which shall be conducted at least once per year and include making changes to the FSP as indicated
 - 4.5.4.4.2. Providing service authorization and support coordination to include but not limited to assessing the effectiveness of FSSP supports and services
 - 4.5.4.4.3. Ensuring all services and supports are delivered in accordance with the FSP
 - 4.5.4.4.4. Coordinating with families to obtain required documentation for services
 - 4.5.4.4.5. Supporting the individual in assessing eligibility for other community and/or Medicaid resources
 - 4.5.4.4.6. Program transition coordination
 - 4.5.4.4.7. Service records maintenance
 - 4.5.4.4.8. Case Management, policy and regulation training
 - 4.5.4.4.9. Utilization review

- 4.5.4.5. The Contractor shall document all ongoing case management activities in detail in the Department's prescribed system within 10 Business Days of the activity.
- 4.5.4.6. The use of mass email communication, robotic and/or automatic voice messages cannot be used to replace the Contractor's required individualized case management activities.
- 4.5.5. FSSP Direct Services
 - 4.5.5.1. The Contractor shall utilize appropriated FSSP funds to purchase services and/or reimburse or advance funds to families for expenses that are incurred as a result of supporting the family and/or individual with an intellectual or developmental disability or delay living in the family home.
 - 4.5.5.2. The Contractor shall only authorize and advance or reimburse services that are needed as a result of the individual's Intellectual and Developmental Disability or Developmental Delay and shall not be approved if the need is a typical age-related need. Correlation between the need and the disability must be documented in the FSP.
 - 4.5.5.3. The Contractor shall ensure that all services are provided in the most cost-effective manner, meaning the least expensive manner to meet the need.
 - 4.5.5.4. The Contractor shall ensure that all services are authorized pursuant to the FSP.
 - 4.5.5.5. The Contractor shall utilize FSSP funds to provide funding to families for expenses referenced in §25.5-10-305(a-j), C.R.S and 10 C.R.S. 2505-10 Section 8.613(F)(8)(a-i). The Contractor shall not authorize or provide any service that is not outlined in these regulations.
 - 4.5.5.6. The Contractor shall ensure the authorized services through FSSP are not duplicative of other resources the family has access to, including HCBS waivers, third party insurance, etc.
 - 4.5.5.7. The Contractor shall prioritize funding for the FSSP pursuant to 10 C.R.S 2505-10 Section 8.613.E(1-2).
- 4.5.6. Family Support Council
 - 4.5.6.1. The Contractor shall establish and maintain a Family Support Council (FSC) pursuant to §25.5-10-304 et seq., C.R.S. and 10 C.C.R. 2505-10 Section 8.613.B et seq.
 - 4.5.6.2. The Contractor shall submit a list of FSC members annually.
 - 4.5.6.2.1. **DELIVERABLE:** FSC Member List
 - 4.5.6.2.2. **DUE:** Annually, by August 15th
 - 4.5.6.3. The Contractor shall notify the Department in writing of any changes to the FSC within 10 Business Days.
 - 4.5.6.3.1. **DELIVERABLE:** FSC Member Updates
 - 4.5.6.3.2. **DUE:** Within 10 Business Days of the date of change to the FSC members
 - 4.5.6.4. The Contractor shall provide an orientation and training to all FSC members on the duties and responsibilities of the FSC. The training and orientation shall be documented with a record of the date of the training, who provided the training, training topic, and names of attendees. The Contractor shall make the training and orientation materials available to the Department upon request.

- 4.5.6.5. The Contractor shall ensure the FSC fulfills all duties outlined in 10 C.C.R. 2505-10 Section 8.613.B et seq. The Contractor shall document meeting minutes and submit them to the Department. The Contractor shall maintain all supporting documentation related to an FSC meeting and make it available to the Department upon request.
- 4.5.6.5.1. **DELIVERABLE:** FSC Meeting Minutes
- 4.5.6.5.2. **DUE:** Monthly, by the 15th of each month and by June 30th
- 4.5.7. FSSP Evaluation
 - 4.5.7.1. In coordination with the FSC, the Contractor shall be responsible for evaluating the effectiveness of the FSSP on an annual basis. The Contractor shall ensure the annual program evaluation addresses all areas required in 10 CCR 2505-10 Section 8.613.K et seq.
 - 4.5.7.2. The Contractor shall provide the Annual Evaluation Report to the Department for review and approval.
 - 4.5.7.2.1. **DELIVERABLE:** Annual Evaluation Report
 - 4.5.7.2.2. **DUE:** Annually, by June 1st
- 4.5.8. FSSP Annual Program Report
 - 4.5.8.1. The Contractor shall create and submit an annual FSSP Program Report to the Department. The FSSP Program Report shall contain all requirements outlined in 10 CCR 2505-10 Section 8.613.M et seq.
 - 4.5.8.2. The Contractor shall provide the FFS Program Report to the Department for review and approval.
 - 4.5.8.2.1. **DELIVERABLE:** FSSP Program Report
 - 4.5.8.2.2. **DUE:** Annually, by October 1st
- 4.5.9. FSSP Records Maintenance
 - 4.5.9.1. The Contractor shall maintain supporting documentation capable of substantiating all expenditures and reimbursements made to providers, Members and/or families.
 - 4.5.9.2. When the Contractor purchases services or items directly for Members and/or families, the Contractor shall:
 - 4.5.9.2.1. Maintain receipts or invoices from the service provider and documentation demonstrating that the provider was paid by the Contractor.
 - 4.5.9.2.1.1. Receipts or invoices must contain, at a minimum: Member and/or family name, provider name, first and/or last date of service, item(s) or service(s) purchased, item(s) or service(s) cost and amount due or paid.
 - 4.5.9.3. When the Contractor reimburses Members and/or families for services or items, the Contractor shall:
 - 4.5.9.3.1. Ensure the Member and/or family provides the Contractor with receipts or invoices prior to reimbursement.
 - 4.5.9.3.1.1. Maintain receipts or invoices from the Member and/or family, and documentation demonstrating that the individual and/or family was reimbursed by the Contractor.

- 4.5.9.3.2. Ensure all receipts or invoices provided by the Members and/or family contain, at a minimum: Member and/or family name, provider name, first and/or last date of service, item(s) or service(s) purchased, items(s) or service(s) cost, and amount paid.
- 4.5.9.4. When the Contractor provides funding to Members and/or families for the purchase of services or items in advance, the Contractor shall include, but is not limited to:
 - 4.5.9.4.1. Establish policies and procedures outlining the Contractor's processes for advancing funds, ensuring supporting documentation is received by the Member and/or family, and remedial action steps the Contractor will take if supporting documentation is not received. The policies and procedures shall identify timelines and shall be made available to the Department upon request.
 - 4.5.9.4.2. Notify the Member and/or family that they are required to submit invoices or receipts to the Contractor of all purchases made prior to the close of the State Fiscal Year.
 - 4.5.9.4.3. Ensure the Member and/or family provides the Contractor with receipts or invoices.
 - 4.5.9.4.4. Maintain receipts or invoices from the Members and/or family, and documentation demonstrating that the Members and/or family was provided with advanced funds by the Contractor.
 - 4.5.9.4.4.1. Ensure all receipts or invoices provided by the Members and/or family contain, at a minimum: Members and/or family name, provider name, first and/or last date of service, item(s) or service(s) purchased, items(s) or service(s) cost, and amount paid.
 - 4.5.9.4.5. The Contractor shall ensure the documentation received by the Member and/or family, indicates that the amount was paid.
 - 4.5.9.4.6. If a Member and/or family does not submit invoices or receipts, the Contractor shall document all attempts to obtain receipts or paid invoices and any remedial action taken. The Contractor shall make all supporting documentation available to the Department upon request.
 - 4.5.9.4.7. If the Contractor cannot provide supporting documentation as described in this section, the Department may recover any unsubstantiated expenditures from the Contractor.
- 4.5.9.5. The Contractor shall ensure supporting documentation is recorded for all FSSP dollars for multiple family services to include a detailed description of the service provided and the date(s) of service.
 - 4.5.9.5.1. The Contractor shall ensure all program expenses related to multiple family expenses can be substantiated through time tracking, wage costs, benefit costs, or any other supporting documentation to verify expenses related to proving the services.

5. ACCOUNTING

- 5.1. The Contractor's accounting methods shall conform to the standards of Generally Accepted Accounting Principles (GAAP), and any updates thereto, throughout the Term of the Contract.
- 5.2. The Contractor shall establish and maintain internal control systems and standards that apply to the operation of the organization.
- 5.3. The Contractor shall assure, all financial documents are filed in a systematic manner to facilitate audits, all prior years' expenditure documents are maintained for use in the budgeting process

and for audits, and records and source documents are made available to the Department, its contracted representative, or an independent auditor for inspection, audit, or reproduction.

- 5.4. The Contractor shall establish any necessary cost accounting systems to identify the application of funds and record the amounts spent.
- 5.5. The Contractor shall document all transactions and funding sources and this documentation shall be available for examination by the Department within 10 Business Days of the Department's request.
- 5.5.1. **DELIVERABLE:** Transaction and Funds Documentation
- 5.5.2. **DUE:** Within 10 Business Days of the Department's Request

6. SUBRECIPIENT STATUS AND REQUIREMENTS

- 6.1. The Contractor has been determined to be a Subrecipient under 2 CFR Chapter I, Chapter II, Part 200 et al. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance); Final Rule (the "Final Rule"), released December 26, 2013 and subsequently updated, and thus shall be required to follow all requirements and guidance contained in the Final Rule.
- 6.2. Single Audits
 - 6.2.1. Under the Final Rule, all Non-Federal Entities, as defined in the Final Rule, expending \$750,000.00 or more from all federal sources (direct or from pass-through entities) must have a single or program-specific audit conducted for that year in accordance with Subpart F of the Final Rule.
 - 6.2.2. The Contractor shall notify the State when expected or actual expenditures of federal assistance from all sources equal or exceed \$750,000.00.
 - 6.2.3. If the expected or actual expenditures of federal assistance from all sources do not equal or exceed \$750,000.00 the Contractor shall provide an attestation to the State that they do not qualify for a Single Audit.
 - 6.2.4. Pursuant to the Final Rule §200.512 (a)(1) the Single Audit must be completed and submitted to the Department within the earlier of 30 calendar days after receipt of the auditor's report(s), or nine months after the end of the audit period. If the due date falls on a Saturday, Sunday, or federal holiday, the reporting package is due the next Business Day.
 - 6.2.4.1. **DELIVERABLE:** Single Audit
 - 6.2.4.2. **DUE:** Within the earlier of 30 calendar days after receipt of the auditor's report(s), or nine months after the end of the audit period
 - 6.2.5. If the Contractor did not receive enough federal funds to require a Single Audit, the Contractor shall submit an attestation form stating a Single Audit was not required utilizing the Department's template.
 - 6.2.5.1. **DELIVERABLE:** Attestation Form
 - 6.2.5.2. **DUE:** Within the earlier of 30 calendar days after receipt of the auditor's report(s), or nine months after the end of the audit period
 - 6.2.6. The audit period shall be the Contractor's fiscal year.
- 6.3. Treatment of Funds

- 6.3.1. All funding identified as a subaward with matching federal dollars received through this Contract is subject to the requirements within Uniform Guidance.
- 6.3.1.1. All subawards must be used on allowable expenses associated with performing the activities outlined in this Contract and on allowable expenses per Uniform Guidance.
- 6.3.1.2. Any subawards not used on the activities outlined in this Contract is subject to recovery at the end of the Period of Performance as identified by the Department.

7. FINANCIAL TRANSPARENCY

- 7.1. The Contractor shall comply with all transparency requirements pursuant to C.R.S. Title 25.5-6-1708.
- 7.2. Board of Director or Governing Body Changes
 - 7.2.1. The Contractor shall notify the Department in writing of any changes to the Board of Directors or Governing Body within 10 Business Days.
 - 7.2.1.1. **DELIVERABLE:** Written notification of changes to Board of Director or Governing Body membership
 - 7.2.1.2. **DUE:** Within 10 Business Days of the effective date
- 7.3. Annual Financial Statements and Independent Auditor's Report
 - 7.3.1. The Contractor shall submit a copy of the Contractor's annual Financial Statements and Independent Auditor's Report to the Department.
 - 7.3.1.1. **DELIVERABLE:** Financial Statements and Independent Auditor's Report
 - 7.3.1.2. **DUE:** No later than 30 calendar days following the acceptance of the audit by the Contractor's Board of Directors or Governing Body
- 7.4. IRS Form 990
 - 7.4.1. The Contractor shall submit a copy of the Form 990 the Contractor filed with the Federal Internal Revenue Service to the Department, if applicable.
 - 7.4.1.1. **DELIVERABLE:** IRS Form 990
 - 7.4.1.2. **DUE:** No later than 30 calendar days following the Contractor's filing of the form with the Internal Revenue Service

8. COMPENSATION AND INVOICING

- 8.1. State General Fund Program Allocations
 - 8.1.1. The Department will notify the Contractor in writing of the Contractor's individual allocation for State SLS, OBRA-SS, and FSSP for each State Fiscal Year.
 - 8.1.2. Reimbursement for activities and services performed by the Contractor shall not exceed the maximum amount identified in the Contractor's individual allocation. Activities and services must be rendered during the State Fiscal Year.
 - 8.1.3. The Department, in its sole discretion, may increase or decrease the Contractor's individual allocations under this Contract by notifying the Contractor's Representative. Increases or decreases in the amount of State funding during the term of this Contract may be made by written notice by the Department to the Contractor or by amendment of the Contract. The circumstances may include but shall not be limited to:

- 8.1.3.1. If necessary to fully utilize program appropriations.
- 8.1.3.2. Adjustments to reflect prior year final contract utilization and current year expenditures.
- 8.1.3.3. Supplemental appropriation changes resulting in an increase or decrease in the amounts originally appropriated and available for the purposes of this program.
- 8.1.3.4. Closure of programs and/or termination of related contracts.
- 8.1.3.5. Delay or difficulty in implementing new programs or services.
- 8.1.3.6. Other special circumstances as deemed necessary by the Department.
- 8.1.3.7. Changes in Member utilization due to changing needs, new enrollments, terminations, and/or delays in services.
- 8.1.3.8. Target caseloads not being met

8.2. State General Fund Program Target Caseloads

- 8.2.1. The Department will notify the Contractor in writing of the target number of individuals that shall be served in State SLS and FSSP prior to the start of each State Fiscal Year.
- 8.2.2. The Contractor may choose to enroll more individuals in State SLS and FSSP than authorized, ensuring all individuals can be served within the funding allocated.
- 8.2.3. Target caseload is calculated by the Department using the unique number of members that receive direct services during the contract period.
- 8.2.4. The Contractor shall enroll members into OBRA-SS if the need for services is identified through the PASRR Level II and shall notify the Department if sufficient funding is not available in the Contractor's individual allocation to support the individual's needs.
- 8.2.5. The Contractor shall redirect unallocated funding from one State Funded Program to another to fully utilize funding allocated and best serve member needs within the Defined Service Area. The Contractor shall not redirect unallocated funding from one State Funded Program to another unless the minimum caseload requirement is being met or the Contractor has obtained written approval from the Department to do so.
- 8.2.6. The Department may reduce the amount of funding allocated during the State Fiscal Year if the Contractor does not meet minimum caseload requirements for State SLS or FSSP.

8.3. State General Fund Program Compensation

- 8.3.1. The compensation under this Contract shall consist of rates-based reimbursement intended to cover the costs of all State General Fund activities provided through this Contract. The Department shall pay the Contractor for the State SLS and OBRA-SS activities at the rates specified in Exhibit C, Rates. Direct services for State SLS and OBRA-SS shall be reimbursed at the rates posted and distributed on the Department's website on the Provider Rates and Fee Schedule. The Department shall pay the Contractor for FSSP activities at the rates specified in Exhibit C, Rates. Direct services for FSSP shall be reimbursed at one dollar per unit.
- 8.3.2. The liability of the State, at any time, for such payment shall be limited to the unexpended amount remaining of such funds and available to the Department.
- 8.3.3. Payments shall be made in accordance with rates as specified in Exhibit C, Rates of this Contract as determined by the Department and may be amended during the term of the

contract using an Option Letter. When the Contractor's maximum allocation of State funding has been paid to the Contractor, no additional funds shall be provided under this Contract.

- 8.3.4. Payment pursuant to this Contract is contingent upon the Contractor, or subcontractor(s), securing and properly maintaining all necessary licenses, certifications, approvals, etc., required to properly provide the services or goods covered by the contract.
- 8.3.5. The rates specified in Exhibit C, Rates are determined by the approved appropriation from the Colorado General Assembly. The Department, at its discretion, shall have the option to increase or decrease these rates as the Department determines is necessary based on its approved appropriation or to correct an administrative error in rate calculations. To exercise this option, the Department shall provide written notice to Contractor in a form substantially similar to the Sample Option Letter in the original Contract, and any new rates table or exhibit shall be effective as of the effective date of that notice unless the notice provides for a different date. The Department may modify the rates shown in this section based on the Medicaid Provider rate increases or decreases authorized by the Colorado legislature or due to an administrative error. If the Department does modify these rates, the Department may modify them using an Option Letter.
- 8.3.6. The rates for State SLS and OBRA-SS direct services will be posted on the Department's website on the Provider Rates and Fee Schedule. The Contractor shall bill all FSSP direct services at one dollar per unit.
- 8.4. Adjustments to Fund Disbursement Amounts
 - 8.4.1. The Department reserves the right to make adjustments during the Contract period and post-period adjustment to disbursements following the end of the Contract period, or an adjustment to the Fiscal Year contract if:
 - 8.4.2. The Contractor does not achieve the Performance Standards identified for each program.
- 8.5. Case Management Agency Compensation
 - 8.5.1. The compensation under this Contract shall consist of rates-based reimbursement intended to cover the costs of all activities provided through this Contract.
 - 8.5.2. The Contractor will receive payment as specified in Exhibit C, Rates.
 - 8.5.2.1. The rates specified in Exhibit C are determined by the approved appropriation from the Colorado General Assembly. The Department, at its discretion, shall have the option to increase or decrease these rates as the Department determines necessary based on its approved appropriation or to correct an administrative error in rate calculations. To exercise this option, the Department shall provide written notice to Contractor in a form substantially similar to the Sample Option Letter in the original Contract, and any new rates table or exhibit shall be effective as of the effective date of that notice unless the notice provides for a different date. The Department may modify the rates shown in this section based on the Medicaid Provider rate increases or decreases authorized by the Colorado legislature or due to an administrative error. If the Department does modify these rates, the Department may modify them through the use of an Option Letter.
- 8.6. Rural or Urban Designation
 - 8.6.1. The Department shall determine the Contractor to be a Rural and Frontier or an Urban agency.
- 8.7. Detailed Invoicing and Payment Procedures

8.7.1. Applications – HCBS-CES

8.7.1.1. The Contractor shall submit all HCBS-CES applications to the Department's vendor for review and approval, as directed by the Department. The Department will pay for initial application per person applying for HCBS-CES per year, as well as CSR HCBS-CES application each year thereafter. The Department will not pay for initial or CSR applications that were denied due to being incomplete. Incomplete applications include any application that did not contain: a signature page, a completed Level of Care, DD or Delay Determination date, dates of service, or partial application (missing pages) which are required from the Contractor necessary to process the application. An incomplete application denial is different than a denial for the client not meeting nighttime and/or daytime criteria. The Department will pay for HCBS-CES applications from reports received by the Department's vendor on the 11th of the month for assessments from the previous month.

8.7.2. Appeal Packets and Hearing Attendance

8.7.2.1. The Contractor shall ensure that all Appeal Packets and Hearing Attendance information is entered into the Department prescribed system within the required timeframe. The Department will pay for all Appeal Packets and Hearing Attendances from data pulled from the Department prescribed system on the 11th day of the month for Appeal Packets and Hearing Attendance from the previous month. The Contractor shall maintain all supporting documentation and packets related to all Appeals.

8.7.3. Case Management Training

8.7.3.1. The Contractor shall submit the Case Management Training deliverable. The Contractor will receive payment once the Department has reviewed and accepted the Deliverable. If the original submission is rejected by the Department, the Contractor shall not receive payment until a revised deliverable has been received and accepted by the Department. If a case manager did not receive one or more of the required trainings prior to being assigned independent duties, the Contractor shall not receive payment for the Deliverable until all trainings have been provided. The Contractor shall have 30 calendar days to provide any outstanding trainings and resubmit the deliverable.

8.7.4. Community Advisory Committee Updates

8.7.4.1. The Contractor submit the Committee Updates Deliverables. The Contractor shall receive payment once the Department has reviewed and accepted the Deliverable. If the Deliverable shows that no committee meeting updates have been included, the Contractor shall not receive payment for the Deliverable.

8.7.5. Complaint Log and Trend Analysis

8.7.5.1. The Contractor shall submit a quarterly Complaint Log and Trend Analysis deliverable. The Contractor will receive payment once the Department has reviewed and accepted the Deliverable. If the original submission is rejected by the Department, the Contractor shall not receive payment until a revised deliverable has been received and accepted by the Department.

8.7.6. Continuous Quality Improvement Plan

8.7.6.1. The Contractor shall submit the Continuous Quality Improvement Plan deliverable and updates. The Contractor shall receive payment once the Department has reviewed and

accepted the Deliverable. If the original submission is rejected by the Department, the Contractor shall not receive payment until a revised deliverable has been received and accepted by the Department.

8.7.7. Critical Incident Quarterly Follow-Up Completion and Entry Performance Standard

8.7.7.1. The Contractor is eligible to receive a quarterly performance-based payment for timely completion of the requested HCBS CIR follow-up action. To receive this quarterly performance-based payment, the Contractor must have 90% of all CIRs assigned follow-up completed and entered into the Department's prescribed system within the timelines assigned by the Department and/or Department Quality Improvement Organization. The Department will calculate the Contractor's performance at the close of each quarter to determine if the Contractor will be awarded the performance-based payment. HCBS and SGF CIRs will be calculated and paid separately.

8.7.8. Critical Incident Reports and Investigations: HCBS IDD Waivers

8.7.8.1. The Contractor shall ensure all CIRs have been entered in the Department prescribed system within the required timeframe. The Department will pay per member enrolled each month based on actively enrolled members pulled from the Department prescribed system on the 11th day of the month for HCBS-CES, HCBS-CHRP, HCBS-DD, and HCBS-SLS enrollments from the previous month.

8.7.9. Critical Incident Reports: HCBS LTSS Waivers

8.7.9.1. The Contractor shall ensure all CIRs have been entered in the Department prescribed system within the required timeframe. The Department will pay per member enrolled each month based on actively enrolled members pulled from the Department prescribed system on the 11th day of the month for HCBS-BI, HCBS-CIH, HCBS-CLLI, HCBS-CMHS, and HCBS-EBD.

8.7.10. Critical Incident Reporting and Investigation: State SLS, OBRA-SS, FSSP

8.7.10.1. The Contractor shall ensure all CIRs have been entered in the Department prescribed system within the required timeframe. The Department will pay for all State SLS, OBRA-SS, and FSSP CIRs MANE and CIRs Non-MANE based on data pulled from the Department's prescribed system on the 11th day of the month for CIRS from the previous month.

8.7.11. Developmental Disability and Delay Determinations

8.7.11.1. The Contractor shall input all disability determinations into the Department prescribed system within the required timeframes. The Department will pay disability determinations, based on data pulled from the Department prescribed system on the 11th day of the month for determinations from the previous month.

8.7.12. Direct Services: State SLS, OBRA-SS, FSSP

8.7.12.1. The Contractor shall submit the State General Fund program direct service expenditure report for all direct service expenditures for State SLS, OBRA-SS, and FSSP by the 15th of each month. The Contract shall receive reimbursement for allowable direct services not to exceed maximum for State General Fund programs for all reimbursable activities for the fiscal year.

8.7.13. Expedited Testing for DD Determinations for PASRR Level II Evaluations

- 8.7.13.1. The Contractor shall invoice the Department monthly for the costs of expediting testing for DD Determinations necessary for the completion of a PASRR II evaluation by the 15th day of the month for the determinations completed in the previous month. The Department will pay for the actual cost for each expedited DD Determination once the invoice has been reviewed and accepted. All invoices shall be submitted on the format prescribed by the Department.
- 8.7.14. Family Support Council Meetings
 - 8.7.14.1. The Contractor shall submit meeting minutes to the Department for FSC meetings attended by the 15th day of the month for meetings attended in the previous month, and by June 30th or the Fiscal Year end close date determined by the Department for all meetings attended in June. The Department will pay for up to six FSC meetings attended within the Fiscal Year once the invoice and supporting documentation has been reviewed and accepted. The Contractor shall maintain all supporting documentation related to an FSC meeting and make it available to the Department upon request.
- 8.7.15. FSSP Annual Report
 - 8.7.15.1. The Contractor shall submit an FSSP Report on an annual basis to the Department. The Contractor shall receive payment for the Annual FSSP Report after it has been reviewed and accepted by the Department.
- 8.7.16. FSSP Evaluation Report
 - 8.7.16.1. The Contractor shall submit an FSSP Evaluation Report on an annual basis to the Department. The Contractor shall receive payment for the FSSP Evaluation Report after it has been reviewed and accepted by the Department.
- 8.7.17. HCBS-DD Waiting List Enrollment Capacity Building
 - 8.7.17.1. The Department will pay the Contractor for each new member enrolled into the HCBS-DD waiver from the waiting list as authorized by the Department and as funding is appropriated and earmarked by the General Assembly. The Department will determine which HCBS-DD enrollments from the waiting list qualify for capacity building funding as defined in this Contract.
- 8.7.18. Human Rights Committee: HCBS IDD Waivers
 - 8.7.18.1. The Contractor shall create all HRC packets in accordance with Department requirements and timeframes. The Contractor shall maintain all supporting documentation related to a Human Rights Committee meeting and make it available to the Department upon request. The Department will pay per member enrolled each month based on actively enrolled members pulled from the Department prescribed system on the 11th day of the month for HCBS-CES, HCBS-CHRP, HCBS-DD, and HCBS-SLS enrollments from the previous month.
- 8.7.19. Human Rights Committee Packet Creation: State SLS, OBRA-SS, FSSP
 - 8.7.19.1. The Contractor shall invoice the Department for all State SLS, OBRA-SS, and FSSP member packets created during a Human Rights Committee meeting by the 15th day of the month for all meetings held in the previous month. The Department will pay for each packet created once the invoice has been reviewed and accepted. All invoices shall be submitted on the format prescribed by the Department.
- 8.7.20. Level of Care Screen: Initial and Reassessments

- 8.7.20.1. The Contractor shall conduct and enter all initial and reassessment Level of Care Screens into the Department's prescribed system within the required timeframes. The Department will pay for initial and reassessment Level of Care Screens based on data pulled from the Department's prescribed system on the 11th day of the month for Screens conducted in the previous month.
- 8.7.21. Long-Range Plan
 - 8.7.21.1. The Contractor shall submit a Long-Range Plan on an annual basis and present it to the Department. The Contractor shall receive payment for the Long-Range Plan after it has been reviewed and accepted by the Department.
- 8.7.22. Monitoring Contacts: State SLS and OBRA-SS
 - 8.7.22.1. The Contractor shall conduct and enter all monitoring contacts for State SLS and OBRA-SS into the Department's prescribed system within the required timeframe. The Contractor shall receive payment for the four required monitoring contacts per service plan year. The Department will pay for monitoring contacts based on data pulled from the Department's prescribed system on the 11th day of the month for contacts conducted in the previous month.
- 8.7.23. Most in Need Assessment: FSSP
 - 8.7.23.1. The Contractor shall conduct and enter all completed Needs Assessments into the Department's prescribed system within the required timeframe. The Contractor shall receive payment for one Needs Assessment for members enrolled or on the FSSP ASAA waiting list per fiscal year. The Department will pay for Needs Assessments each month based on data pulled from the Department's prescribed system on the 11th day of the month for assessments conducted in the previous month.
- 8.7.24. Needs Assessment: Initial and Reassessment
 - 8.7.24.1. The Contractor shall conduct and enter all initial and reassessment Needs Assessments into the Department's prescribed system within the required timeframes. The Department will pay for initial and reassessment Needs Assessments based on data pulled from the Department's prescribed system on the 11th day of the month for assessments conducted in the previous month.
- 8.7.25. Ongoing Case Management: State SLS, OBRA-SS, FSSP
 - 8.7.25.1. The Contractor shall conduct and enter all ongoing case management activities for State SLS, OBRA-SS, and FSSP into the Department's prescribed system within the required timeframe. The Contractor shall receive one ongoing case management payment each month per member for allowable activities completed. The Department will pay for ongoing case management activities based on data pulled from the Department's prescribed system on the 11th day of the month for activities conducted in the previous month.
- 8.7.26. Operations Guide
 - 8.7.26.1. The Contractor shall develop an Operations Guide that meets all requirements outlined in this Contract for year one. The Contractor shall receive payment for the Operations Guide once the deliverable has been reviewed and accepted by the Department
- 8.7.27. Operations Guide Updates

- 8.7.27.1. The Contractor shall review the Operations Guide for years two, three, four, and five of this Contract, and determine if any modifications are required. Updates shall include but not be limited to any changes in the Work, in the Department's processes and procedures, or in the Contractor's processes and procedures. The Contractor shall submit the Annual Operations Guide Update as well as a summary of all changes to the Department or an explanation demonstrating that the Operations Guide was reviewed, and the Contractor determined that no edits were necessary. The Department shall review the Operations Guide Update and the summary to determine whether significant modifications were completed. The Contractor shall receive payment for the updated Operations Guide only after the Department has determined that significant changes were made, and the Department has accepted the deliverable. If minor changes or no changes were completed the Contractor shall not receive payment for this deliverable. The Department does not consider changes such as updating dates, contact information or locations to be significant changes.
- 8.7.28. Rural Travel Add-On for Rural and Frontier Counties
- 8.7.28.1. The Contractor shall receive an additional payment for Rural Travel Add-On for Rural and Frontier Counties for the following activities only: initial and Reassessment Level of Care Screen, initial and Reassessment Needs Assessment, State SLS and OBRA-SS In-Person Monitoring, and State SLS and OBRA-SS In-Person Individualized Support Plans based on data pulled from the department prescribed system on the 11th day of the month for activities from the previous month.
- 8.7.29. SIS-A Assessments
- 8.7.29.1. The Contractor shall enter all SIS assessments into SIS Online by the last day of the month. The Department will pay for all SIS-A Assessments from data pulled from the Department prescribed system on the 11th day of the month for assessments from the previous month. Re-assessment requests must be reviewed and accepted by the Department prior to completion, entry, and payment.
- 8.7.30. Support Need Level Assessment - HCBS-CHRP
- 8.7.30.1. The Contractor shall maintain all supporting documentation related to the Support Need Level Assessment and make it available to the Department upon request. The Contractor shall invoice the Department for all completed assessments by the 15th day of the month for all assessments completed in the previous month. The Department will pay for assessments once the invoice and supporting documentation is reviewed and accepted.
- 8.7.31. Training on the Colorado Single Assessment, and Person-Centered Support Plan Instruments and Streamlined Eligibility
- 8.7.31.1. The Contractor shall receive payment once participating case managers complete the training on the Colorado Single Assessment, and Person-Centered Support Plan instruments and streamlined eligibility. The payment will be based on an allocation calculated by the Department based on funding availability, the time required for training completion, and the average number of case managers participating.
- 8.7.32. Waiting List Management
- 8.7.32.1. The Contractor shall enter all waiting list management contacts with individuals and families into the Department prescribed system within the required timeframe. The Department will pay for required Waiting List contacts from data pulled from the

Department prescribed system on the 11th of the month for assessments from the previous month. The Department shall not pay for more than one contact per individual (18 and older) on the HCBS-DD ASAA, See Date and Safety Net waiting list and State SLS or FSSP ASAA waiting list per year.

8.7.33. Year End Close Deadlines

- 8.7.33.1. The due dates identified in this section shall be adhered to, and information entered into the Department's prescribed systems and/or submitted to the Department by a date identified in this Contract. For the month of June, the Department will notify the Contractor of the modified due date to account for year-end closing. Any submission past the assigned year end close date will not be reimbursed.

8.8. Payment and Billing Errors

- 8.8.1. The Contractor shall review all payments made by the Department to ensure accuracy within 10 Business Days of receiving a payment summary.
- 8.8.2. The Contractor shall notify the Department of any errors in billing or payment within 10 Business Days of receiving a payment summary on the Department's prescribed template to ensure over and under payments are adjusted.
- 8.8.2.1. **DELIVERABLE:** Payment Correction Form
- 8.8.2.2. **DUE:** Within 10 Business Days of receiving a payment summary from the Department.

8.9. Unexpended Funds

- 8.9.1. The Contractor shall remit any Subawards disbursed under this Contract that are not expended by the close of the Period of Performance.

8.10. Closeout Payments

- 8.10.1. Notwithstanding anything to the contrary in this Contract, all payments for the final month of this Contract shall be paid to Contractor no sooner than 10 days after the Department has determined that Contractor has completed all of the requirements of the Closeout Period.

EXHIBIT C, RATES

Case Management Agency (CMA) Rates Table				
Description	Rate	Frequency	Payment Type	Funding Source
Operations Guide	\$ 7,750.55	Annually – Year 1 of the Contract	Deliverable	Federal/State Funded
Operations Guide Update	\$ 1,396.22	Annually – Years 2+ of the Contract	Deliverable	Federal/State Funded
Long Range Plan	\$ 3,473.83	Annually	Deliverable	Federal/State Funded
Committee Updates	\$ 1,050.72	Semi-Annually	Deliverable	Federal/State Funded
Continuous Quality Improvement Plan	\$ 496.78	Annually	Deliverable	Federal/State Funded
Complaint Trend Analysis	\$ 3,781.41	Quarterly	Deliverable	Federal/State Funded
Case Management Training	\$ 636.03	Semi-Annually	Deliverable	Federal/State Funded
Creation of Packet - Appeals	\$ 521.18	Per Packet	Report	Federal/State Funded
Attendance at Hearing - Appeals	\$ 481.34	Per Hearing	Report	Federal/State Funded
Critical Incident Reporting with Investigation (HCBS – CES, HCBS – CHRP, HCBS – DD, HCBS – SLS)	\$ 6.18	Monthly, Per Member Enrolled	Report	Federal/State Funded
Critical Incident Reporting (HCBS – BI, HCBS – CMHS, HCBS – EBD, HCBS – SCI, HCBS - CLLI)	\$ 1.58	Monthly, Per Member Enrolled	Report	Federal/State Funded
Critical Incident Follow-Up Performance Standard	\$ 3,389.28	Quarterly	Deliverable	Federal/State Funded
Human Rights Committee (HCBS – CES, HCBS – CHRP, HCBS – DD, HCBS – SLS)	\$ 5.83	Monthly, Per Member Enrolled	Report	Federal/State Funded
Waiting List Management	\$ 93.55	Per Contact	Report	State Funded
Initial Level of Care Assessment (100.2)	\$ 278.06	Per Assessment	Report	Federal/State Funded
CSR Level of Care Assessment (100.2)	\$ 209.83	Per Assessment	Report	Federal/State Funded
Initial Level of Care Screen	\$ 206.15	Per Screen	Report	Federal/State Funded

Annual Reassessment – Level of Care Screen	\$ 191.79	Per Screen	Report	Federal/State Funded
Initial Needs Assessment – Required Questions Only	\$ 260.28	Per Assessment	Report	Federal/State Funded
Annual Reassessment Needs Assessment – Required Questions Only	\$ 244.31	Per Assessment	Report	Federal/State Funded
Initial Needs Assessment – Voluntary Questions Included	\$ 325.36	Per Assessment	Report	Federal/State Funded
Annual Reassessment Needs Assessment – Voluntary Questions Included	\$ 310.93	Per Assessment	Report	Federal/State Funded
SIS Assessment	\$ 350.09	Per Assessment	Report	Federal/State Funded
HCBS-CHRP ICAP Assessment	\$ 162.02	Per Assessment	Invoice	Federal/State Funded
Initial HCBS-CES Application	\$ 185.50	Per Application	Report	Federal/State Funded
CSR HCBS-CES Application	\$ 139.96	Per Application	Report	Federal/State Funded
Medicaid Eligible IDD Determination	\$ 449.81	Per Determination	Report	Federal/State Funded
Medicaid Eligible Delay Determination	\$ 267.61	Per Determination	Report	Federal/State Funded
SGF IDD Determination	\$ 449.81	Per Determination	Report	State Funded
SGF Delay Determination	\$ 267.61	Per Determination	Report	State Funded
Expedited DD Determination Testing for PASRR Level II Evaluations	\$ 471.67	Actual Costs up to Rate, Per Evaluation	Invoice	Federal/State Funded
Rural Travel Add-On	\$ 36.73	Per Required in Person Contact for Rural and Frontier Agencies	Report	Federal/State Funded
Completed Training on the Colorado Single Assessment and Person-Centered Support Plan Instruments	Calculated Allocation	Upon Training Completion	Deliverable	Federal/State Funded
State SLS, OBRA-SS, and FSSP Critical	\$ 342.33	Per Incident	Report	State Funded

Incident Reporting & Investigation: MANE				
State SLS, OBRA-SS, and FSSP Critical Incident Reporting & Investigation: Non-MANE	\$ 45.79	Per Incident	Report	State Funded
State SLS, OBRA-SS, and FSSP Human Rights Committee	\$ 123.26	Per Member Reviewed	Invoice	State Funded
State SLS and OBRA-SS Complaints Trend Analysis	\$ 216.36	Quarterly	Deliverable	State Funded
State SLS, OBRA-SS, and FSSP CIR Follow-Up Performance Standard	\$ 50.79	Quarterly	Deliverable	State Funded
State SLS, OBRA-SS, and FSSP Ongoing Case Management	\$ 89.87	Monthly, Per Activity	Report	State Funded
State SLS and OBRA-SS Monitoring – In Person	\$ 102.65	Per Contact	Report	State Funded
State SLS and OBRA-SS Monitoring - Virtual	\$ 85.74	Per Contact	Report	State Funded
State SLS Expenditure Report	\$ 613.49	Monthly	Invoice	State Funded
OBRA-SS Expenditure Report	\$ 362.31	Monthly	Invoice	State Funded
FSSP Needs Assessment	\$ 32.60	Per Assessment	Report	State Funded
FSSP Expenditure Report	\$ 545.66	Monthly	Invoice	State Funded
Family Support Council Meetings	\$ 410.09	Per Meeting	Invoice	State Funded
FSSP Annual Report	\$ 609.60	Annually	Deliverable	State Funded
FSSP Program Evaluation	\$ 518.81	Annually	Deliverable	State Funded

EXHIBIT D, TERMINOLOGY

1. TERMINOLOGY

- 1.1. In addition to the terms defined in §3 of this Contract, the following list of terms shall be construed and interpreted as follows:
 - 1.1.1. Adverse Action – A denial, reduction, termination, or suspension from a long-term service and support program or service.
 - 1.1.2. Affiliated Entity – An organization that directly or indirectly controls another entity, has substantially similar ownership of another entity, and/or owns a substantial share of another entity.
 - 1.1.3. Appeal – The process a case manager participates in when a Client or Member appeals an adverse action made by the case manager.
 - 1.1.4. Behavioral Health Authorities (BHA) – The behavioral health administration established in Part 200 of Article 50 of Title 27, C.R.S.
 - 1.1.5. Business Day – Any day in which the State is open and conducting business, but shall not include Saturday, Sunday, or any day which the State observes one of the holidays listed in C.R.S. §24–11–101(1).
 - 1.1.6. Business Interruption – Any event that disrupts the Contractor’s ability to complete the Work for a period of time, and may include, but is not limited to a Disaster, power outage, strike, loss of necessary personnel or computer virus.
 - 1.1.7. Care and Case Management System (CCM) – The Department’s case management Information Technology (IT) platform.
 - 1.1.8. Case Management – The assessment of a Member eligible to receive or receiving long-term services and supports, the development and implementation of a Support Plan for such Member, referral and related activities, the coordination and monitoring of long-term service and supports delivery, the evaluation of service effectiveness, and the periodic reassessment of such Member’s needs.
 - 1.1.9. Case Management Agency (CMA) – A public or private not-for-profit or for-profit organization contracted with the state of Colorado to provide case management services and activities pursuant to C.R.S. 25.5-6-1702.
 - 1.1.10. Case Manager – A person who provides case management services and activities pursuant to Article 6 and Article 10 of C.R.S. Title 25.5 for members receiving long-term services and supports.
 - 1.1.11. Child Health Plan Plus – Colorado’s public low-cost health insurance for certain children and pregnant women. It is for people who earn too much to qualify for Health First Colorado, but not enough to pay for private health insurance.
 - 1.1.12. Client – Any individual applying for or seeking information for LTSS.
 - 1.1.13. Closeout Period – The period beginning on the earlier of 90 days prior to the end of the last Extension Term or notice by the Department of its decision to not exercise its option for an Extension Term, and ending on the day that the Department has accepted the final deliverable for the Closeout Period, as determined in the Department-approved and updated Closeout Plan, and has determined that the closeout is complete.

- 1.1.14. Colorado Revised Statutes (C.R.S.) – The legal code of Colorado; the legal codified general and permanent statutes of the Colorado General Assembly.
- 1.1.15. Community Centered Board (CCB) – A private for-profit or not-for profit organization that is an administrator of locally generated funding pursuant to CRS 25.5-10-206(6) and acts as a resource for persons with an intellectual and developmental disability or a child with a developmental delay.
- 1.1.16. Complaints – Any complaint received by the Contractor as it relates to the services provided through this Contract to include, but not limited to: general business functions, administration, State General Fund program functions, and case management functions. Excludes any complaints regarding activities outside the scope of this Contract.
- 1.1.17. Consumer-Directed Attendant Support Services (CDASS) – The service delivery option for services that assist an individual in accomplishing activities of daily living when included as a waiver benefit that may include health maintenance, personal care and homemaker activities.
- 1.1.18. Contract – The agreement, including all attached Exhibits, all documents incorporated by reference, all referenced statutes, rules and cited authorities, and any future modifications thereto, that is entered into as a result of this solicitation.
- 1.1.19. Contract Funds – The funds that have been appropriated, designated, encumbered, or otherwise made available for payment by the State under the Contract resulting from this Solicitation.
- 1.1.20. Contractor – The individual or entity selected as a result of this solicitation to complete the Work contained in the Contract.
- 1.1.21. Contractor Pre-Existing Material – Material, code, methodology, concepts, process, systems, technique, trade or service marks, copyrights, or other intellectual property developed, licensed or otherwise acquired by Contractor prior to the Effective Date of this Contract and independent of any services rendered under any other contract with the State.
- 1.1.22. Corrective Action Plan – A written plan, which includes the specific actions the agency shall take to correct non-compliance with regulations and contractual obligations, which stipulates the date by which each action shall be completed.
- 1.1.23. Critical Incident – An actual or alleged event that creates the risk of serious harm to the health or welfare of an individual receiving services; and it may endanger or negatively impact the mental and/or physical well-being of an individual.
- 1.1.24. Critical Incident Report (CIR) Mistreatment, Abuse, Neglect or Exploitation (MANE) – A Critical Incident Report entered into the Department prescribed system with a category of Mistreatment, Abuse, Neglect, or Exploitation.
- 1.1.25. Critical Incident Report (CIR) Non-MANE – A Critical Incident Report entered into the Department prescribed system with a category of criminal activity, damage to consumer's property/theft, death, injury/illness, medication management issues, missing persons, other high-risk issues, and unsafe housing/displacement.
- 1.1.26. Data – State Confidential Information and other State information resources transferred to the Contractor for the purpose of completing a task or project assigned in the Statement of Work.

- 1.1.27. Deliverable – Any tangible or intangible object produced by Contractor as a result of the work that is intended to be delivered to the Department, regardless of whether the object is specifically described or called out as a “Deliverable” or not.
- 1.1.28. Department – The Colorado Department of Health Care Policy and Financing, a department of the government of the State of Colorado.
- 1.1.29. Designated Service Area – The geographical area determined by the State Department to be served by a Case Management Agency per C.R.S. 25.5-6-1702.
- 1.1.30. Disaster – An event that makes it impossible for Contractor to perform the Work out of its regular facility or facilities, and may include, but is not limited to, natural disasters, fire or terrorist attacks.
- 1.1.31. Effective Date – The date on which the Contract resulting from this solicitation is approved and signed by the Colorado State Controller or designee, as shown on the Signature and Cover Page for the Contract.
- 1.1.32. Eligibility Determination – The eligibility of an individual for a Long-Term Services and Supports (LTSS) program is determined by meeting all the requirements of the program, to include Level of Care Determination and financial eligibility.
- 1.1.33. Fraud – An intentional deception or misrepresentation made by a person with the knowledge that the deception could result in some unauthorized benefit to that person or some other person and includes any act that constitutes fraud under any federal or state law.
- 1.1.34. Goods – Any movable material to be acquired, produced, or delivered by Contractor which shall include any movable material acquired, produced, or delivered by Contractor in connection with the Services.
- 1.1.35. Health First Colorado – Colorado’s Medicaid program.
- 1.1.36. Health Insurance Portability and Accountability Act (HIPAA) – The Health Insurance Portability and Accountability Act of 1996, as amended.
- 1.1.37. Home and Community Based Services (HCBS) Waivers – Services and supports authorized through a 1915(c) waiver of the Social Security Act and provided in community settings to a client who requires an institutional level of care that would otherwise be provided in a Hospital, Nursing Facility, or Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF-IID). This includes: Home and Community Based Services Waiver for Persons with Brain Injury (HCBS-BI), Home and Community Based Services Children’s Extensive Services Waiver (HCBS-CES), Home and Community Based Services Children’s Residential Habilitation Program Waiver (HCBS-CHRP), Home and Community Based Services Waiver for Children with a Life Limiting Illness (HCBS-CLLI), Home and Community Based Services Community Mental Health Supports Waiver (HCBS-CMHS), Home and Community Based Services Waiver for Persons with Developmental Disabilities (HCBS-DD), Home and Community Based Services Waiver for Persons who are Elderly, Blind and Disabled (HCBS-EBD), Home and Community Based Services Supported Living Services Waiver (HCBS-SLS), and Home and Community Based Services Waiver for Persons with Spinal Cord Injury (HCBS-CIH).
- 1.1.38. Hospital Back-Up - A LTSS program for Members who have complex wound care and/or are ventilator-dependent or medically complex.

- 1.1.39. Incident – Any accidental or deliberate event that results in or constitutes an imminent threat of the unauthorized access or disclosure of State Confidential Information or of the unauthorized modification, disruption, or destruction of any State Records.
- 1.1.40. In-Home Services and Supports (IHSS) – Means services that are provided in the home and in the community by an Attendant under the direction of the client or client’s Authorized Representative, including Health Maintenance Activities and support for activities of daily living or instrumental activities of daily living, Personal Care services and Homemaker services.
- 1.1.41. Intermediate Care Facility (ICF) - A residential facility that is certified by the Centers for Medicare and Medicaid (CMS) to provide habilitative, therapeutic and specialized support services to persons with intellectual and developmental disabilities.
- 1.1.42. Intake, Screening and Referral – The initial contact between the individual and the Contractor and shall include but is not limited to a preliminary screening in the following areas: a Client’s need for long term services and supports; a Client’s need for referral to other programs or services; a Client’s eligibility for financial and program assistance; and the need for a Level of Care Screen and Needs Assessment of the Client seeking services.
- 1.1.43. Key Personnel – The position or positions that are specifically designated as such in the Contract.
- 1.1.44. Learning Management System (LMS) - An online software application for the administration, delivery and tracking of case management training programs and materials.
- 1.1.45. Level of Care – The level of assistance needed by an individual seeking services or a member to perform activities of daily living, to include mobility; bathing; dressing; eating; toileting; transferring; and need for supervision as determined by the Level of Care Screen.
- 1.1.46. Level of Care Determination – The eligibility determination of an individual for a Long-Term Services and Supports (LTSS) program by a Case Management Agency as determined by the requirements of the program, using the Department prescribed instrument.
- 1.1.47. Long Term Care notice of action – The form required to be sent to Clients by the Contractor within eleven (11) business days regarding their appeal rights in accordance with 10 CCR 2505-10 8.507 et seq.
- 1.1.48. Long Term Services and Supports (LTSS) – The services and supports used by Members of all ages with functional limitations and chronic illnesses who need assistance to perform routine daily activities such as bathing, dressing, preparing meals, and administering medications.
- 1.1.49. Long Term Services and Supports (LTSS) Programs - Any of the following publicly funded programs: FSSP, HCBS-BI, HCBS-CES, HCBS-CHRP, HCBS-CLLI, HCBS-CMHS, HCBS-DD, HCBS-EBD, HCBS-CIH, HCBS-SLS, HBU, LTHH, Medicaid Nursing Facilities, OBRA-SS, PACE, State SLS.
- 1.1.50. Long Term Services and Supports Level of Care Eligibility Determination Screen (LOC Screen) – An evaluation conducted by the case manager with the individual seeking services and others chosen by the individual to participate (such as family members, friends, and/or caregivers), to determine an applicant or member’s eligibility for long-term services and supports based on their need for institutional level of care as determined by utilizing the Department’s prescribed instrument, with supporting diagnostic information from the

Individual's medical providers, for the purpose of determining the Individual's level of functioning for admission or continued stay in Long-Term Services and Supports (LTSS) programs.

- 1.1.51. Medical Assistance (MA) Site - Designated sites allowed by statute or certified by the Department of Health Care Policy and Financing (Department) to process the State-authorized Medical Assistance application for the programs that are administered by the Department and determine eligibility for said programs.
- 1.1.52. Member – Any individual enrolled in the Colorado Medicaid program, State General Fund program, Colorado's CHP+ program or the Colorado Indigent Care Program, as determined by the Department.
- 1.1.53. National Core Indicators-Aging and Disabilities (NCI-AD) – Standard measures used across participating states to assess the quality of life and outcomes of seniors and adults with physical disabilities—including traumatic or acquired brain injury—who are accessing publicly-funded services through the Older Americans Act (OAA), Program of All-Inclusive Care for the Elderly (PACE), Medicaid, and/or state-funded programs. The project is coordinated by Advancing States and Human Services Research Institute (HSRI). NCI-AD data are gathered through yearly in-person Adult Consumer Surveys administered by state Aging, Disability, and Medicaid Agencies (or an Agency-contracted vendor) to a sample of at least 400 individuals in each participating state. NCI-AD data measures the performance of states' long term services and supports (LTSS) systems and service recipient outcomes, helping states prioritize quality improvement initiatives, engage in thoughtful decision making, and conduct futures planning with valid and reliable LTSS data.
- 1.1.54. Needs Assessment - A comprehensive evaluation conducted by the case manager, using the Department prescribed instrument, with the individual seeking services or member and appropriate collaterals as requested and/or necessary (such as family members, advocates, friends and/or caregivers), and including supporting information from the individual's providers to determine the individual's service needs, goals, available resources, and potential funding resources.
- 1.1.55. Nursing Facility - A facility provider that meets the state nursing facility licensing standards established pursuant to C.R.S. §25-1.5-103 and is maintained primarily for the care and treatment of inpatients under the direction of a physician.
- 1.1.56. Offeror – Any individual or entity that submits a proposal, or intends to submit a proposal, in response to this solicitation.
- 1.1.57. Operational Start Date – When the Department authorizes the Contractor to begin fulfilling its obligations under the Contract.
- 1.1.58. Organized Health Care Delivery System - A Case Management Agency that contracts with other qualified providers to furnish services authorized in the HCBS-BI, HCBS-CLLI, HCBS-CES, HCBS-CIH, HCBS-CHRP, HCBS-CMHS, HCBS-DD, HCBS-EBD, and HCBS-SLS waivers. CMAs are responsible for purchasing specific goods and services for members, authorized on the Person-Centered Support Plan, as set forth by the Department's prescribed guidelines for OHCDS.
- 1.1.59. Other Personnel – Individuals and Subcontractors, in addition to Key Personnel, assigned to positions to complete tasks associated with the Work.

- 1.1.60. Pandemic – Refers to an epidemic that has spread over several countries or continents, usually affecting a large number of people.
- 1.1.61. Period of Performance – Means the total estimated time interval between the start of an initial Federal award and the planned end date, which may include one or more funded portions, or budget periods. Identification of the period of performance in the Federal award per § 200.211(b)(5) does not commit the awarding agency to fund the award beyond the currently approved budget period.
- 1.1.62. Person-Centered Approach – Respecting and valuing individuals’ and Members’ preferences, strengths, and contributions.
- 1.1.63. Person-Centered Support Plan - A document, using the State-prescribed instrument, that identifies approved services, regardless of funding source, necessary to assist a member to remain safely in the community and develop in accordance with the Department rules. The plan includes the funding source, frequency, amount and provider of each service and is developed with the member and people chosen by the member to identify goals, needed services, individual choices and preferences, and appropriate service providers based on the member’s Assessment and knowledge of the individual and community resources and informs the member of their rights and responsibilities.
- 1.1.64. Person-Centered Support Planning – The process of working with the Member receiving services and people chosen by the Member to identify goals, needed services, individual choices and preferences, and appropriate service providers based on the Member seeking or receiving services, assessment and knowledge of the Member and of community resources. Support planning informs the Member receiving services of his or her rights and responsibilities.
- 1.1.65. Personally Identifiable Information – Personally identifiable information including, without limitation, any information maintained by the State about an individual that can be used to distinguish or trace an individual’s identity, such as name, social security number, date and place of birth, mother’s maiden name, or biometric records; and any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information. PII includes, but is not limited to, all information defined as personally identifiable information in §24–72–501 C.R.S.
- 1.1.66. Pre-Admission Screening and Resident Review (PASRR) – The review that occurs for all Clients seeking admission to a Medicaid nursing facility to screen the Client for evidence of serious mental illness and/or intellectual and developmental disabilities or related conditions. The review determines whether the Client needs the level of services that a nursing facility provides and whether Clients who need nursing facility services also need specialized services.
- 1.1.67. Professional Medical Information Page (PMIP) – The medical information document signed by a licensed medical professional used as a component of the Level of Care Screening and Assessment to determine the Client’s or Member’s need for a LTSS program.
- 1.1.68. Program – A publicly funded program including, but not limited to: Home and Community Based Services Waivers, Medicaid Nursing Facility, Hospital Back-Up, Program for All-Inclusive Care for the Elderly (PACE), Long Term Home Health (LTHH), and State General Funded (SGF) Programs.

- 1.1.69. Protected Health Information – Any protected health information, including, without limitation any information whether oral or recorded in any form or medium: **(i)** that relates to the past, present or future physical or mental condition of an individual; the provision of health care to an individual; or the past, present or future payment for the provision of health care to an individual; and **(ii)** that identifies the individual or with respect to which there is a reasonable basis to believe the information can be used to identify the individual. PHI includes, but is not limited to, any information defined as Individually Identifiable Health Information by the federal Health Insurance Portability and Accountability Act.
- 1.1.70. Provider – Any health care professional or entity that has been accepted as a provider in the Colorado Medicaid program, Colorado’s CHP+ program or the Colorado Indigent Care Program, as determined by the Department.
- 1.1.71. Quality Improvement Strategy (QIS) – The Department’s process to measure and improve its performance in meeting the HCBS waiver assurances annually as set forth in 42 CFR 441.301 and 441.302.
- 1.1.72. Quarter – Four (4) distinct time periods during the State Fiscal Year. Quarter one (1) begins on July 1 and ends September 30. Quarter two (2) begins on October 1 and ends December 31. Quarter three (3) begins on January 1 and ends March 31. Quarter four (4) begins on April 1 and ends June 30.
- 1.1.73. Regional Accountable Entity (RAE) – A single regional entity responsible for duties previously performed by Regional Care Collaborate Organizations and Behavioral Health Organizations (BHO).
- 1.1.74. Resource Development – The study, establishment and implementation of additional resources or services that extend the capabilities of community based LTSS systems to better serve LTSS Clients and Members and those likely to need community based LTSS in the future.
- 1.1.75. Rural and Frontier – Defined Service Areas that are eligible for rural travel add-on reimbursement for required in-person activities reimbursed through this Contract.
- 1.1.76. Services – The services and activities to be performed by the Contractor as set forth in this Contract and shall include any services and activities to be rendered by the Contractor in connection with the Goods. Services identified through this Contract specifically exclude any Home and Community Based Services, State Plan Benefit Services, and other Medicaid services reimbursed through a Medicaid Provider Agreement.
- 1.1.77. Start-Up Period – The period starting on the Effective Date and ending on the Operational Start Date.
- 1.1.78. State – The State of Colorado, acting by and through any State agency.
- 1.1.79. State Fiscal Rules – The fiscal rules promulgated by the Colorado State Controller pursuant to C.R.S. §24–30–202(13)(a).
- 1.1.80. State Fiscal Year – The 12-month period beginning on July 1 of each calendar year and ending on June 30 of the following calendar year. If a single calendar year follows the term, then it means the State Fiscal Year ending in that calendar year.
- 1.1.81. State Intellectual Disability Authority (SIDA) – The person authorized by the Department to review PASRR Level II Evaluations and approve or deny a nursing facility admission for

individuals with intellectual and developmental disabilities. SIDA issues the Letter of Determination to the nursing facility.

- 1.1.82. State General Fund Programs – Case management, services, and supports authorized by the General Assembly and provided in the family home, a community setting, or Nursing Facility using 100% General Fund dollars. Including, the Family Support Services Program (FSSP), State Supported Living Services Program (State SLS), and Omnibus Reconciliation Act of 1987 Specialized Services Program (OBRA-SS).
- 1.1.83. State Records – Any and all State data, information, and records, regardless of physical form, including, but not limited to, information subject to disclosure under CORA.
- 1.1.84. Subcontractor – Third parties, if any, engaged by Contractor to aid in performance of the Work.
- 1.1.85. Support Need Level Assessment - The standardized assessment tool to identify and measure the practical support requirements for HCBS-CHRP waiver participants.
- 1.1.86. Surcharge - Any additional amount added by the Contractor, over and above the rate charged by the subcontractor to the Contractor, which would be shown on an individual's service plan or on encounter data service rates submitted to the Department.
- 1.1.87. Target Criteria – Department defined criteria based on Member needs to access services under a HCBS waiver.
- 1.1.88. Targeted Case Management (TCM) – Required case management activities for Members enrolled in a HCBS waivers as defined in 10 CCR 2505-10 8.761.14 et seq. that are reimbursed as a State Plan benefit and through a Medicaid Provider Agreement. TCM activities are excluded from the Work within this Contract.
- 1.1.89. Waiting List - A list of otherwise eligible individuals established to manage selection of individuals' entrance into the waiver or State General Fund programs until approved capacity and funding become available.
- 1.1.90. Work – The delivery of the Goods and performance of the Services described in the Contract.
- 1.1.91. Work Product – The tangible and intangible results of the Work, whether finished or unfinished, including drafts. Work Product includes, but is not limited to, documents, text, software (including source code), research, reports, proposals, specifications, plans, notes, studies, data, images, photographs, negatives, pictures, drawings, designs, models, surveys, maps, materials, ideas, concepts, know-how, and any other results of the Work. "Work Product" does not include any material that was developed prior to the Effective Date that is used, without modification, in the performance of the Work.

2. ACRONYMS AND ABBREVIATIONS

- 2.1. The following list is provided to assist the reader in understanding certain acronyms and abbreviations used in this Contract:
 - 2.1.1. CFR – Code of Federal Regulations
 - 2.1.2. CHP+ –Child Health Plan Plus
 - 2.1.3. CORA –Colorado Open Records Act, C.R.S. §24–72–200.1, et. seq.
 - 2.1.4. C.R.S. – Colorado Revised Statutes
 - 2.1.5. CPI – Consumer Price Index

- 2.1.6. CPI-U – CPI for all urban consumers
- 2.1.7. HIPAA – Health Insurance Portability and Accountability Act of 1996, as amended.
- 2.1.8. MFCU – the Colorado Medicaid Fraud Control Unit in the Colorado Department of Law
- 2.1.9. PCI – Payment Card Information
- 2.1.10. PHI – Protected Health Information
- 2.1.11. PII – Personally Identifiable Information
- 2.1.12. SFY – State Fiscal Year
- 2.1.13. U.S.C. – United States Code
- 2.1.14. VARA – Visual Rights Act of 1990

EXHIBIT E, CONTRACTOR'S ADMINISTRATIVE REQUIREMENTS

1. CONTRACTOR'S GENERAL REQUIREMENTS

- 1.1. The Department will contract with only one organization, the Contractor, and will work solely with that organization with respect to all tasks and deliverables to be completed, services to be rendered and performance standards to be met under this Contract.
- 1.2. The Contractor shall serve as the Case Management Agency for the following counties:
 - 1.2.1. Larimer County
- 1.3. Contractor may be privy to internal policy discussions, contractual issues, price negotiations, confidential medical information, Department financial information, advance knowledge of legislation and other Confidential Information. In addition to all other confidentiality requirements of the Contract, the Contractor shall also consider and treat any such information as Confidential Information and shall only disclose it in accordance with the terms of the Contract.
- 1.4. The Contractor shall work cooperatively with Department staff and, if applicable, the staff of other State contractors to ensure the completion of the Work. The Department may, in its sole discretion, use other contractors to perform activities related to the Work that are not contained in the Contract or to perform any of the Department's responsibilities. In the event of a conflict between Contractor and any other State contractor, the State will resolve the conflict and Contractor shall abide by the resolution provided by the State.
- 1.5. The Contractor shall inform the Department on current trends and issues in the healthcare marketplace and provide information on new technologies in use that may impact the Contractor's responsibilities under this Contract.
- 1.6. The Contractor shall maintain complete and detailed records of all meetings, system development life cycle documents, presentations, project artifacts, and any other interactions or Deliverables related to the Work described in the Contract. The Contractor shall make such records available to the Department upon request throughout the term of the Contract.
- 1.7. Deliverables
 - 1.7.1. All Deliverables shall meet Department-approved format and content requirements. The Department will specify the number of copies and media for each Deliverable.
 - 1.7.1.1. Contractor shall submit each Deliverable to the Department for review and approval and shall adhere to the following Deliverable process such for any documentation creation, review, and acceptable cycle, the Contractor shall:
 - 1.7.1.1.1. Gather and document requirements for the Deliverable.
 - 1.7.1.1.2. Create a draft in the Department-approved format for the individual Deliverable.
 - 1.7.1.1.3. Perform internal quality control review(s) of the Deliverable, including, but not limited to:
 - 1.7.1.1.3.1. Readability.
 - 1.7.1.1.3.2. Spelling.
 - 1.7.1.1.3.3. Grammar.
 - 1.7.1.1.3.4. Completion.

- 1.7.1.1.4. Adhere to all required templates or development of templates.
- 1.7.1.1.5. Perform modifications that include version control and tracked changes.
- 1.7.1.2. The Department will review the Deliverable and may direct Contractor to make changes to the Deliverable. Contractor shall make all changes within five Business Days following the Department's direction to make the change unless the Department provides a longer period in writing.
 - 1.7.1.2.1. Changes the Department direct include, but are not limited to, modifying portions of the Deliverable, requiring new pages or portions of the Deliverable, requiring resubmission of the Deliverable or requiring inclusion of information or components that were left out of the Deliverable.
 - 1.7.1.2.2. The Department may also direct Contractor to provide clarification or provide a walkthrough of any Deliverable to assist the Department in its review. Contractor shall provide the clarification or walkthrough as directed by the Department.
- 1.7.1.3. Once the Department has received an acceptable version of the Deliverable, including all changes directed by the Department, the Department will notify Contractor of its acceptance of the Deliverable in writing. A Deliverable shall not be deemed accepted prior to the Department's notice to Contractor of its acceptance of that Deliverable.
- 1.7.2. Contractor shall employ an internal quality control process to ensure that all Deliverables are complete, accurate, easy to understand and of high quality, as described herein. Contractor shall provide Deliverables that, at a minimum, are responsive to the specific requirements for that Deliverable, organized into a logical order, contain accurate spelling and grammar, are formatted uniformly, and contain accurate information and correct calculations. Contractor shall retain all draft and marked-up documents and checklists utilized in reviewing Deliverables for reference as directed by the Department.
- 1.7.3. In the event any due date for a Deliverable falls on a day that is not a Business Day, the due date shall be automatically extended to the next Business Day, unless otherwise directed by the Department.
- 1.7.4. All due dates or timelines that reference a period of days, months or quarters shall be measured in calendar days, months and quarters unless specifically stated as being measured in Business Days or otherwise. All times stated in the Contract shall be considered to be in Mountain Time, adjusted for Daylight Saving Time as appropriate, unless specifically stated otherwise.
- 1.7.5. No Deliverable, report, data, procedure or system created by Contractor for the Department that is necessary to fulfilling Contractor's responsibilities under the Contract, as determined by the Department, shall be considered proprietary.
- 1.7.6. If any Deliverable contains ongoing responsibilities or requirements for the Contractor, such as Deliverables that are plans, policies or procedures, then Contractor shall comply with all requirements of the most recently approved version of that Deliverable. Contractor shall not implement any version of any such Deliverable prior to receipt of the Department's written approval of that version of that Deliverable. Once a version of any Deliverable described in this subsection is approved by the Department, all requirements, milestones and other Deliverables contained within that Deliverable shall be considered to be requirements, milestones and Deliverables of this Contract.

1.7.6.1. Any Deliverable described as an update of another Deliverable shall be considered a version of the original Deliverable for the purposes of this subsection.

1.8. Stated Deliverables and Performance Standards

1.8.1. Any section within this Statement of Work headed with or including the term "DELIVERABLE" or "PERFORMANCE STANDARD" is intended to highlight a Deliverable or performance standard contained in this Statement of Work and provide a clear due date for the Deliverables. The sections with these headings are for ease of reference not intended to expand or limit the requirements or responsibilities related to any Deliverable or performance standard, except to provide the due date for the Deliverables.

1.9. Communication with the Department

1.9.1. The Contractor shall enable all Contractor staff to exchange documents and electronic files with the Department staff in formats compatible with the Department's systems. The Department currently uses Microsoft Office 2016 and/or Microsoft Office 365 for PC. If the Contractor uses a compatible program, then the Contractor shall ensure that all documents or files delivered to the Department are completely transferrable and reviewable, without error, on the Department's systems.

1.9.2. The Department will use a transmittal process to provide the Contractor with official direction within the scope of the Contract. The Contractor shall comply with all direction contained within a completed transmittal. For a transmittal to be considered complete, it must include, at a minimum, all of the following:

1.9.2.1. The date the transmittal will be effective.

1.9.2.2. Direction to the Contractor regarding performance under the Contract.

1.9.2.3. A due date or timeline by which the Contractor shall comply with the direction contained in the transmittal.

1.9.2.4. The signature of the Department employee who has been designated to sign transmittals.

1.9.2.4.1. The Department will provide the Contractor with the name of the person it has designated to sign transmittals on behalf of the Department, who will be the Department's primary designee. The Department will also provide the Contractor with a list of backups who may sign a transmittal on behalf of the Department if the primary designee is unavailable. The Department may change any of its designees from time to time by providing notice to the Contractor through a transmittal.

1.9.3. The Department may deliver a completed transmittal to the Contractor in hard copy, as a scanned attachment to an email or through a dedicated communication system, if such a system is available.

1.9.3.1. If a transmittal is delivered through a dedicated communication system or other electronic system, then the Department may use an electronic signature to sign that transmittal.

1.9.4. If the Contractor receives conflicting transmittals, the Contractor shall contact the Department's primary designee, or backup designees if the primary designee is unavailable, to obtain direction. If the Department does not provide direction otherwise, then the transmittal with the latest effective date shall control.

1.9.5. In the event that the Contractor receives direction from the Department outside of the transmittal process, it shall contact the Department's primary designee, or backup designees

if the primary designee is unavailable, and have the Department confirm that direction through a transmittal prior to complying with that direction.

- 1.9.6. Transmittals may not be used in place of an amendment, and may not, under any circumstances be used to modify the term of the Contract or any compensation under the Contract. Transmittals are not intended to be the sole means of communication between the Department and the Contractor, and the Department may provide day-to-day communication to the Contractor without using a transmittal.
- 1.9.7. The Contractor shall retain all transmittals for reference and shall provide copies of any received transmittals upon request by the Department.
- 1.9.8. The Contractor shall provide written notification to the Department in instances where the Contractor has not been successful in meeting any requirement or timeframe identified in this Contract. This notification must be provided to the Department within 3 Business Days of the breach on a template provided by the Department.

1.10. Individual and Member Engagement

1.10.1. Person- and Family-Centered Approach

- 1.10.2. The Contractor shall actively engage Members in their health and well-being by demonstrating the following:
 - 1.10.2.1. Responsiveness to Member and family/caregiver needs by incorporating best practices in communication and cultural responsiveness in service delivery.
 - 1.10.2.2. Utilization of various tools to communicate clearly and concisely.
 - 1.10.2.3. The Contractor shall align Member engagement activities with the Department's person- and family-centered approach that respects and values individual preferences, strengths, and contributions.

1.11. Cultural Responsiveness

- 1.11.1. The Contractor shall provide and facilitate the delivery of services in a culturally competent manner to all individuals and Members, including those with limited English proficiency and diverse cultural and ethnic backgrounds, disabilities, and regardless of gender, sexual orientation or gender identity.
- 1.11.2. The Contractor shall provide all information for individuals and Members in a manner and format that may be easily understood and is readily accessible by individuals and Members.
- 1.11.3. Readily accessible is defined as electronic information and services that comply with modern accessibility standards, such as Section 508 of the Americans with Disabilities Act, Section 504 of the Rehabilitation Act.

1.12. Language Assistance Services

- 1.12.1. The Contractor shall provide language assistance services including bilingual staff and/or interpreter services, at no cost to any individual or Member. Language assistance shall be provided at all points of contact, in a timely manner and during all hours of operation.
- 1.12.2. The Contractor shall make oral interpretation available in all languages.
- 1.12.3. The Contractor shall assure the competence of language assistance provided by interpreters and bilingual staff.

- 1.12.4. The Contractor shall not use family and friends to provide interpretation services except by request of the individual or Member.
- 1.12.5. The Contractor shall provide interpreter services for all interactions with individuals and Members when there is no Contractor staff person available who speaks a language understood by an individual or Member.
- 1.12.6. The Contractor shall notify individuals and Members verbally regarding the individual's or Member's right to receive the following language assistance services, as well as how to access the following language assistance services.
- 1.12.7. Oral interpretation for any language. Oral interpretation requirements apply to all non-English languages, not just those that the state identifies as prevalent.
- 1.12.8. The Contractor shall ensure that language assistance services shall include, but are not limited to, the use of auxiliary aids such as TTY/TDY and American Sign Language.
- 1.12.9. The Contractor shall ensure that customer service telephone functions easily access interpreter or bilingual services.

1.13. Written Materials for Individuals and Members

- 1.13.1. The Contractor shall ensure that all written materials it creates for distribution to individuals and Members meet all noticing requirements of 45 C.F.R. Part 92.
- 1.13.2. The Contractor shall ensure that all written materials it creates for distribution to individuals and Members are culturally and linguistically appropriate to the recipient.
- 1.13.3. The Contractor shall write all materials in easy to understand language.

1.14. Individual and Member Communications

- 1.14.1. The Contractor shall maintain consistent communication, both proactive and responsive, with individuals and Members.
- 1.14.2. The Contractor shall assist any individual or Member who contacts the Contractor, including individuals and Members not in the Contractor's Defined Service Area who need assistance with contacting his/her/their CMA, CCB, RAE, or other agencies.

1.15. Individual and Member Rights

- 1.15.1. The Contractor shall have written policies guaranteeing each individual's and Member's right to be treated with respect and due consideration for his or her dignity and privacy.
- 1.15.2. The Contractor shall provide information to individuals and Members regarding their rights that include, but are not limited to:
 - 1.15.2.1. The right to be treated with respect and due consideration for their dignity and privacy.
 - 1.15.2.2. The right to participate in decisions regarding their services.
 - 1.15.2.3. The right to be free from any form of restraint or seclusion used as a means of coercion, discipline, convenience or retaliation.
 - 1.15.2.4. The right to request and receive a copy of their records.
 - 1.15.2.5. The right to obtain available and accessible services under the Contract.
- 1.15.3. The Contractor shall post and distribute rights to individuals, including but not limited to:
 - 1.15.3.1. Individuals/Members.

1.15.3.2. Individual's/Member's families.

1.15.3.3. Providers.

1.15.3.4. Case Workers.

1.15.3.5. Stakeholders.

1.16. Start-Up Plan

1.16.1. The Contractor shall create a Start-Up Plan that contains, at a minimum, the following:

1.16.1.1. A description of all steps, timelines, and milestones necessary to fully transition the services described in the Contract from a prior contractor to the Contractor.

1.16.1.2. A description of all steps, timelines, milestones, and Deliverables necessary for the Contractor to be fully able to perform all Work by the Operational Start Date.

1.16.1.3. A listing of all personnel involved in the start-up and what aspect of the start-up they are responsible for.

1.16.1.4. An operational readiness review for the Department to determine if the Contractor is ready to begin performance of all Work.

1.16.1.5. The risks associated with the start-up and a plan to mitigate those risks.

1.16.2. **DELIVERABLE:** Start-Up Plan

1.16.3. **DUE:** 20 Calendar Days Prior to the Contract Start Date

1.17. Start-Up Period

1.17.1. With input from the Department, the Contractor shall complete all of the following during the Start-Up Period:

1.17.1.1. Schedule and facilitate a Kickoff Meeting that includes the following:

1.17.1.1.1. Key Personnel.

1.17.1.1.2. Department Leadership.

1.17.1.1.3. Department Project Team Members.

1.17.1.1.4. Any other relevant and needed persons or organizations.

1.17.1.2. Develop Kickoff Meeting materials and an agenda that contains, at a minimum, the following:

1.17.1.2.1. Initial timelines for starting the Work and creating initial Deliverables.

1.17.1.2.2. Establishment of Communication channels to describe how the Work is to be completed.

1.17.1.2.3. Transmission methods and specific Deliverable templates or requirements.

1.17.1.2.4. Any other item required to initiate and ensure Work is started and completed on time.

1.17.1.3. Prepare Kickoff Meeting Minutes and deliver them to the Department for review and approval.

1.17.1.3.1. **DELIVERABLE:** Kickoff Meeting Agenda & Materials

1.17.1.3.2. **DUE:** Within three Business Days after the Kickoff Meeting

- 1.17.1.4. Create a Policy and Procedures Manual that contains the policies and procedures for all systems and functions necessary for the Contractor to complete its obligations under the Contract.
- 1.17.1.5. Prepare all documents, forms, training materials, and any other documents, information and protocols that require approval by the Department prior to the end of the Start-Up Period and are necessary for the Contractor to begin work on the Operational Start Date. The Contractor shall deliver all documents, forms, training materials, and any other documents, information and protocols that require approval by the Department to the Department for review and approval in a timely manner that allows the Department to review and approve those documents prior to end of the Start-Up Period.
 - 1.17.1.5.1. **DELIVERABLE:** Policies & Procedures Manual
 - 1.17.1.5.2. **DUE:** No later than the Operational Start Date
- 1.18. Operations Guide
 - 1.18.1. Contractor shall not engage in any Work under the Contract, other than the Work described in this Sections 1.10 and 11.18 prior to the Operational Start Date. The Department shall not be liable to the Contractor for, and Contractor shall not receive, any payment for any period prior to the Operational Start Date under this Contract.
 - 1.18.2. The Contractor shall create and implement an Operations Guide. The Operations Guide shall include the creation and management of the following:
 - 1.18.2.1. Communication Plan.
 - 1.18.2.2. Business Continuity Plan.
 - 1.18.2.3. Closeout Plan.
 - 1.18.3. The Contractor shall submit the Operations Guide to the Department for review and approval.
 - 1.18.3.1. **DELIVERABLE:** Operations Guide
 - 1.18.3.2. **DUE:** Within 30 Business Days after the Effective Date
 - 1.18.4. The Contractor shall review its Operations Guide on annual basis and determine if any modifications are required to account for any changes in the Work, in the Department's processes and procedures or in the Contractor's processes and procedures and update the Guide as appropriate to account for any changes. The Contractor shall submit an Annual Operations Guide Update that contains all changes from the most recently approved prior Operations Guide or Annual Operations Guide Update or shall note that there were no changes.
 - 1.18.4.1. **DELIVERABLE:** Annual Operations Guide Update
 - 1.18.4.2. **DUE:** Annually, by July 31st
 - 1.18.5. The Operational Start Date shall not occur until Contractor has completed all requirements of the Operations Guide, unless the Department provides written approval otherwise.
 - 1.18.6. Communication with Members, Providers, and Other Entities
 - 1.18.6.1. The Contractor shall create a Communication Plan that includes, but is not limited to, all of the following:

- 1.18.6.1.1. A description of how the Contractor will communicate to Members any changes to the services those Members will receive or how those Members will receive the services.
- 1.18.6.1.2. A description of the communication methods, including things such as email lists, newsletters and other methods, that the Contractor will use to communicate with Providers and Subcontractors.
- 1.18.6.1.3. The specific means of immediate communication with Members and a method for accelerating the internal approval and communication process to address urgent communications or crisis situations.
- 1.18.6.1.4. A general plan for how the Contractor will address communication deficiencies or crisis situations, including how the Contractor will increase staff, contact hours or other steps the Contractor will take if existing communication methods for Members or Providers are insufficient.
- 1.18.6.1.5. A listing of the following individuals within the Contractor's organization, including cell phone numbers and email addresses:
 - 1.18.6.1.5.1. An individual who is authorized to speak on the record regarding the Work, the Contract or any issues that arise that are related to the Work.
 - 1.18.6.1.5.2. An individual who is responsible for any website or marketing related to the Work.
 - 1.18.6.1.5.3. Back-up communication staff that can respond in the event that the other individuals listed are unavailable.
- 1.18.7. Business Continuity Plan
 - 1.18.7.1. The Contractor shall create a Business Continuity Plan that the Contractor will follow in order to continue operations after a Disaster or a Business Interruption to include but not limited to a Disaster, Pandemic, power outage, strike, loss of necessary personnel, or computer virus. The Business Continuity Plan shall include, but is not limited to, all of the following:
 - 1.18.7.1.1. The essential services and functions provided by the Contractor.
 - 1.18.7.1.2. The lead person and response team responsible for implementing the business continuity plan, individual/team roles, and contact information.
 - 1.18.7.1.3. How emergency responses procedures will be implemented and who will activate the business continuity plan.
 - 1.18.7.1.4. How the Contractor will implement a flexible work plan that includes social distancing, hygiene etiquette, cancellation of non-essential activities, closure of buildings, and/or relocation to alternative facilities.
 - 1.18.7.1.5. How the Contractor will address training personnel, preparing equipment, and backup systems.
 - 1.18.7.1.6. How the Contractor will address budget and finance mechanisms to ensure financing of essential services.
 - 1.18.7.1.7. How the Contractor will ensure necessary supplies and equipment are available to maintain essential services.

- 1.18.7.1.8. How the Contractor will replace staff that are lost or unavailable during or after a Business Interruption so that the Work is performed in accordance with the Contract.
- 1.18.7.1.9. How the Contractor will manage employees who are exposed to a Pandemic related illness or are suspected to be ill or become ill at a worksite, such as infection control response and immediate mandatory sick leave.
- 1.18.7.1.10. How the Contractor will ensure or enhance communication and information technology infrastructure to support tele-commuting.
- 1.18.7.1.11. How the Contractor will back-up all information necessary to continue performing the Work remotely, so that no information is lost because of a Business Interruption.
- 1.18.7.1.12. In the event of a Disaster, the plan shall also include how the Contractor will make all information available at its back-up facilities.
- 1.18.7.1.13. How the Contractor will maintain complete back-up copies of all data, databases, operating programs, files, systems, and software pertaining to enrollment information at a Department-approved, off-site location.
- 1.18.7.1.14. How the Contractor will minimize the effects on Members of any Business Interruption to include how the Contractor will notify members of closures and cancellations.
- 1.18.7.1.15. How the Contractor will communicate with the Department during the Business Interruption and points of contact within the Contractor's organization the Department can contact in the event of a Business Interruption.
- 1.18.7.1.16. How the Contractor will transition from in person meetings to conference calls or other virtual platforms or cancel or delay meetings as necessary.
- 1.18.7.1.17. Planned long-term back-up facilities out of which the Contractor can continue operations after a Disaster.
- 1.18.7.1.18. The time period it will take to transition all activities from the Contractor's regular facilities to the back-up facilities after a Disaster.
- 1.18.7.1.19. How the Contractor will prepare necessary internal staff for implementing the business continuity plan, which may include tests, drills, or training annually and revising the plan based on lessons learned.
- 1.18.7.1.20. How the Contractor will identify and engage with external organizations to help the community, such as sharing best practices and sharing timely and accurate information about a Business Interruption.
- 1.18.7.1.21. How the Contractor will implement steps to return to normal after a Business Interruption.

1.18.8. Closeout Plan

- 1.18.8.1. The Contractor shall create a Closeout Plan that describes all requirements, steps, timelines, milestones, and Deliverables necessary to fully transition the services described in the Contract from the Contractor to the Department or to another contractor selected by the Department to be the contractor after the termination of the Contract. The Closeout Plan shall include, but is not limited to:
 - 1.18.8.1.1. Transfer of individuals and Members

- 1.18.8.1.2. Transfer of documentation to include all electronic and physical documentation.
- 1.18.8.1.3. Transfer of all individual and Member records through the Department Case Management Systems.
- 1.18.8.1.4. Transfer of services
- 1.18.8.1.5. Transfer of Case Management Services
- 1.18.8.2. The Closeout Plan shall also designate an individual to act as a closeout coordinator who will ensure that all requirements, steps, timelines, milestones, and deliverables contained in the Closeout Plan are completed and work with the Department and any other contractor to minimize the impact of the transition on Members and the Department.
- 1.18.8.2.1. The Contractor shall ensure all policy, procedures, training, and appeals information are transferred to the Department.
- 1.18.8.3. The Contractor shall deliver the Closeout Plan to the Department for review and approval.
- 1.18.8.4. The Contractor shall provide weekly updates to the Department throughout the creation of and the performances within the Operations Guide, that show the Contractor's status toward meeting the milestones described herein.
- 1.18.8.5. The Contractor shall be ready to perform all Work by the Operational Start Date.
- 1.19. Closeout Period
 - 1.19.1. During the Closeout Period, the Contractor shall complete all of the following:
 - 1.19.1.1. Implement the most recent Closeout Plan or Closeout Plan Update as approved by the Department in the Operations Guide, as described herein and complete all steps, Deliverables and milestones contained in the most recent Closeout Plan or Closeout Plan Update that has been approved by the Department.
 - 1.19.1.2. Provide to the Department, or any other contractor at the Department's direction, all reports, data, systems, Deliverables and other information reasonably necessary for a transition as determined by the Department or included in the most recent Closeout Plan or Closeout Plan Update that has been approved by the Department.
 - 1.19.1.3. Ensure that all responsibilities under the Contract have been transferred to the Department, or to another contractor at the Department's direction, without significant interruption.
 - 1.19.1.4. Notify any Subcontractors of the termination of the Contract, as directed by the Department.
 - 1.19.1.5. Notify all Members that the Contractor will no longer be the CMA as directed by the Department. Contractor shall create these notifications and deliver them to the Department for approval. Once the Department has approved the notifications, Contractor shall deliver these notifications to all Members, but in no event shall Contractor deliver any such notification prior to approval of that notification by the Department.
 - 1.19.1.5.1. **DELIVERABLE:** Member Notifications
 - 1.19.1.5.2. **DUE:** 90 days prior to termination of the Contract
 - 1.19.1.6. Continue meeting each requirement of the Contract as described in the Department-approved and updated Closeout Plan, or until the Department determines that specific

requirement is being performed by the Department or another contractor, whichever is sooner. The Department will determine when any specific requirement is being performed by the Department or another contractor and will notify the Contractor of this determination for that requirement.

- 1.19.1.7. The Closeout Period may extend past the termination of the Contract. The Department will perform a closeout review to ensure that Contractor has completed all requirements of the Closeout Period. If Contractor has not completed all of the requirements of the Closeout Period by the date of the termination of the Contract, then any incomplete requirements shall survive termination of the Contract.

1.20. Long-Range Plan

- 1.20.1. The Contract shall create and present to the Department a Long-Range Plan for its Defined Service Area that describes, at a minimum, the following:
 - 1.20.1.1. Administrative and case management accomplishments of the Contractor in the previous year.
 - 1.20.1.2. Identified unmet needs of eligible persons in the Defined Service Area and action steps necessary to meet those needs.
 - 1.20.1.3. How the Contractor will solicit input from Members and families to ensure quality services.
 - 1.20.1.4. Local area issues that impact or are expected to impact the Defined Service Area and action steps on how to resolve those issues.
 - 1.20.1.5. Policies that are considered by the Contractor to be a barrier to ensuring a comprehensive case management system and suggested modifications to overcome the barriers.
 - 1.20.1.6. A summary of how the Contractor is working to recruit and retain case management staff currently and for the future to maintain and improve the case management services in its Defined Service Area.
 - 1.20.1.7. A summary of how the Contractor is working to recruit new and existing providers to expand their services in the Defined Service Area.
 - 1.20.1.8. A summary of past efforts and future plans to accelerate equity, diversity, inclusion, and access.
 - 1.20.1.9. How the Contractor will engage with and facilitate existing social networks including, but not limited to: CCBs, RAEs, Behavioral Health Authorities, schools, nursing facilities and other unpaid supports and advocacy partners will be used to support members in the Defined Service Area.
 - 1.20.1.10. How State General Fund programs and supports will be used to support individuals, members, and families within the Defined Service Area.
 - 1.20.1.11. How the voices of historically underserved and marginalized communities will be incorporated into decision-making within the Defined Service Area.
 - 1.20.1.12. How feedback will be obtained from community members, members receiving services, and individuals seeking or waiting for services and how the feedback will be incorporated into strategies for delivering case management services within the Defined Service Area.
- 1.20.2. **DELIVERABLE:** Long-Range Plan and Presentation to the Department

1.20.3. DUE: Annually, by August 15th**1.21. Community Advisory Committee**

- 1.21.1. Within 30 days of the Contract execution date, the Contractor shall establish a Community Advisory Committee of no less than five committee members that will meet at least quarterly to obtain public input and guidance for CMA operations.
- 1.21.2. The Community Advisory Committee shall include, but not be limited to, at least one person as the regional representation from among the following categories:
 - 1.21.2.1. the district's county commissioners,
 - 1.21.2.2. area agencies on aging,
 - 1.21.2.3. medical professionals,
 - 1.21.2.4. physical or intellectual disability professionals,
 - 1.21.2.5. ombudsmen,
 - 1.21.2.6. human service agencies,
 - 1.21.2.7. county government officials,
 - 1.21.2.8. mental/behavioral health professionals,
 - 1.21.2.9. or HCBS Professionals with experience working with members with Intellectual and Developmental Disabilities.
 - 1.21.2.10. Membership must include regional representation from one or more LTSS members or family members of individuals receiving LTSS:
 - 1.21.2.10.1. Members with I/DD and/or
 - 1.21.2.10.2. Members with disabilities
 - 1.21.2.10.3. Self-advocates and members shall be given priority of selection over family members
- 1.21.3. The Contractor shall submit the Community Advisory Committee member list annually on the template prescribed by the Department.
 - 1.21.3.1. **DELIVERABLE:** Community Advisory Committee Member List
 - 1.21.3.2. **DUE:** Annually, by August 15th
- 1.21.4. The Contractor shall notify the Department of any changes to Community Advisory Committee membership within 10 Business Days of the date of change.
 - 1.21.4.1. **DELIVERABLE:** Community Advisory Committee Membership Updates
 - 1.21.4.2. **DUE:** Within 10 Business Days of the date of change to the membership list.
- 1.21.5. The Community Advisory Committee shall include at least two regional representatives of individuals or family members of individuals receiving long-term disability and/or I/DD services.
- 1.21.6. The CMA shall demonstrate efforts to recruit members of the committee who represent the characteristics of the community as it relates to diversity of race, ethnicity, religious affiliation, etc. These efforts shall be reflected in the Long-Range Plan.

- 1.21.7. The Community Advisory Committee is an advisory body to the CMA that provides recommendations and is not a decision-making body. As such the Community Advisory Committee shall:
 - 1.21.7.1. Provide public input and guidance to the CMA in the review of service delivery policies and procedures, marketing strategies, resource development, overall CMA operations, service quality, individual member satisfaction and other related programmatic opportunities to address barriers at a local or regional level.
 - 1.21.7.2. Support the CMA with developing strategies for resolving complaints at the local or regional level.
 - 1.21.7.3. Maintain and post public notices of meetings, meeting minutes, and documented follow up on the Contractor's website.
 - 1.21.7.4. Report to the CMA governing body or board of directors quarterly on all case management complaints trends and follow up completed by the CMA.
 - 1.21.7.5. Provide reports to the Department and its committees upon request.
 - 1.21.7.6. The Community Advisory Committee may be combined in purpose or name with other CMA committees in the CMA defined service area so long as it meets the above purpose, criteria and reports.
 - 1.21.7.7. The Community Advisory Committee must use the operational templates prescribed by the Department as minimum standards.
 - 1.21.7.7.1. **DELIVERABLE:** Committee Updates
 - 1.21.7.7.2. **DUE:** Bi-Annually, for meetings held between July 1st and December 31st, Committee Updates are due January 15th, and for meetings held between January 1st through June 1st, Committee Updates are due June 15th
- 1.22. Performance Reviews
 - 1.22.1. The Department may conduct performance reviews or evaluations of the Contractor in relation to the Work performed under the Contract.
 - 1.22.2. The Department may work with the Contractor in the completion of any performance reviews or evaluations or the Department may complete any or all performance reviews or evaluations independently, at the Department's sole discretion.
 - 1.22.3. The Contractor shall provide all information necessary for the Department to complete all performance reviews or evaluations, as determined by the Department, upon the Department's request. The Contractor shall provide this information regardless of whether the Department decides to work with the Contractor on any aspect of the performance review or evaluation.
 - 1.22.4. The Department may conduct these performance reviews or evaluations at any point during the term of the Contract, or after termination of the Contract for any reason.
 - 1.22.5. The Department may make the results of any performance reviews or evaluations available to the public or may publicly post the results of any performance reviews or evaluations.
 - 1.22.6. The Department may recoup funding as a result of any performance review or evaluation where payment was rendered for services not complete or not in alignment with federal and/or state regulations or this Contract.

1.23. Corrective Action Plan

- 1.23.1. When the Department determines that the Contractor is not in compliance with any term of this Contract, the Contractor, upon written notification by the Department, shall develop a corrective action plan. Corrective action plans shall include, but not be limited to:
 - 1.23.1.1. A detailed description of actions to be taken including any supporting documentation.
 - 1.23.1.2. Contractor's employee(s) responsible for implementing the actions.
 - 1.23.1.3. The implementation time frames and a date for completion.
- 1.23.2. The Contractor shall submit the Corrective Action Plan to the Department within 10 Business Days of the receipt of a written request from the Department.
 - 1.23.2.1. **DELIVERABLE:** Corrective Action Plan
 - 1.23.2.2. **DUE:** Within 10 Business Days of receipt of a written request from the Department
- 1.23.3. The Contractor shall notify the Department in writing, within three Business Days, if it will not be able to present the Corrective Action Plan by the due date. The Contractor shall explain the rationale for the delay and the Department may grant an extension, in writing, of the deadline for the Contractor's compliance.
- 1.23.4. Upon receipt of the Contractor's Corrective Action Plan, the Department will accept, modify or reject the proposed Corrective Action Plan. Modifications and rejections shall be accompanied by a written explanation.
- 1.23.5. In the event of a rejection of the Contractor's Corrective Action Plan the Contractor shall re-write a revised Corrective Action Plan and resubmit it along with requested documentation to the Department for review.
 - 1.23.5.1. **DELIVERABLE:** Revised Corrective Action Plan
 - 1.23.5.2. **DUE:** Within five Business Days of the Department's rejection
- 1.23.6. Upon acceptance by the Department the Contractor shall implement the Corrective Action Plan.
- 1.23.7. If corrections are not made by the timeline and/or quality specified by the Department then funds may be withheld from this Contract. Payments of funds from this Contract will resume beginning the month that the correction is made and accepted by the Department.
- 1.23.8. As part of the Corrective Action Plan, supporting documentation demonstrating that deficiencies have been remediated may be required. The Contractor shall ensure all supporting documentation is submitted within the timeframes established in the Corrective Action Plan.
- 1.23.9. Upon receipt of the Contractor's supporting documentation, the Department will accept, request modifications, or reject the documentation. Modifications and rejections shall be accompanied by a written explanation.
- 1.23.10. In the event of a rejection of the Contractor's supporting documentation to the Corrective Action Plan, the Contractor shall correct and resubmit the supporting documentation to the Department for review.

1.23.11. If a Corrective Action Plan or any supporting activities or documentation are required to correct a deficiency, are not submitted within the requested timeline and/or quality specified by the Department, funds may be suspended or withheld from this Contract.

1.23.11.1. **DELIVERABLE:** Revised Supporting Documentation

1.23.11.2. **DUE:** Within five Business Days of the Department's rejection

1.23.12. If corrections are not made by the timeline and quality specified by the Department then funds may be withheld and recovered from this Contract. Payments of funds from this Contract will resume beginning the month that the correction is made and accepted by the Department.

1.24. Renewal Options and Extensions

1.24.1. The Department may, within its sole discretion, choose to not exercise any renewal option in the Contract for any reason. If the Department chooses to not exercise an option, it may reprocur the performance of the Work in its sole discretion.

1.24.2. The Parties may amend the Contract to extend beyond eight years, in accordance with the Colorado Procurement Code and its implementing rules, in the event that the Department determines the extension is necessary to align the Contract with other Department contracts, to address state or federal programmatic or policy changes related to the Contract, or to provide sufficient time to transition the Work.

1.25. Department System Access

1.25.1. In the event that the Contractor requires access to any Department computer system to complete the Work, the Contractor shall have and maintain all hardware, software, and interfaces necessary to access the system without requiring any modification to the Department's system. The Contractor shall follow all Department policies, processes, and procedures necessary to gain access to the Department's systems.

1.25.2. The Contractor shall be responsible for any costs associated with obtaining and maintaining access to systems needed to perform the Work under this solicitation, as determined by the Department. The Department will not reimburse the Contractor for any costs associated with obtaining and maintaining access to Department systems.

1.26. Provider Fraud

1.26.1. Contractor shall notify the Department and the Colorado Medicaid Fraud Control Unit of the Colorado Department of Law (MFCU) if it identifies or suspects possible Provider Fraud as a result of any activities in its performance of this Contract.

1.26.2. Upon identification or suspicion of possible Provider Fraud, the Contractor shall complete the Contractor Suspected Fraud Written Notice Form provided by the Department.

1.26.2.1. For each incident of identified or suspected Provider Fraud, Contractor shall provide all of the following, at a minimum:

1.26.2.1.1. Written documentation of the findings.

1.26.2.1.2. Information on any verbal or written reports.

1.26.2.1.3. All details of the findings and concerns, including a chronology of Contractor actions which resulted in the reports, in a format agreed to by the Department.

1.26.2.1.4. Information on the identification of any affected claims that have been discovered.

- 1.26.2.1.5. Any claims data associated with its report (in a mutually agreed upon format, if possible).
- 1.26.2.1.6. Any additional information as required by the Department.
- 1.26.3. For each incident of identified or suspected Provider Fraud, Contractor shall deliver the completed Contractor Suspected Fraud Written Notice Form to the Department and the MFCU.
- 1.26.3.1. **DELIVERABLE:** Completed Contractor Suspected Fraud Written Notice Form
- 1.26.3.2. **DUE:** Within three Business Days following the initial discovery of the Fraud or suspected Fraud
- 1.26.4. Contractor shall revise or provide additional information related to the Contractor Suspected Fraud Written Notice Form as requested by the Department or the MFCU.
- 1.26.4.1. **DELIVERABLE:** Contractor Suspected Fraud Written Notice Revisions and Additional Information
- 1.26.4.2. **DUE:** Within three Business Days following the Department's or the MFCU's request, unless the Department or MFCU provides for a different period in its request.
- 1.27. Member Fraud
 - 1.27.1. Contractor shall notify the Department if it identifies or suspects possible Member Fraud as a result of any activities in its performance of this Contract.
 - 1.27.2. Upon identification or suspicion of possible Member Fraud, the Contractor shall complete the Contractor Suspected Fraud Written Notice Form provided by the Department.
 - 1.27.2.1. For each incident of identified or suspected Member Fraud, Contractor shall provide all of the following, at a minimum:
 - 1.27.2.1.1. All verbal and written reports related to the suspected fraud.
 - 1.27.2.1.2. All details of the findings and concerns, including a chronology of Contractor actions which resulted in the reports, and the Member's State ID number, and Member's date of birth if applicable.
 - 1.27.2.1.3. Information on the identification of any affected claims that have been discovered.
 - 1.27.2.1.4. Any claims data associated with its report in a format agreed to by the Department.
 - 1.27.2.1.5. Any additional information as required by the Department.
 - 1.27.3. For each incident of identified or suspected Member Fraud, Contractor shall deliver the completed Contractor Suspected Fraud Written Notice Form to the Department at report.clientfraud@state.co.us, or at such other email address as provided by the Department from time to time.
 - 1.27.3.1. **DELIVERABLE:** Completed Contractor Suspected Fraud Written Notice Form
 - 1.27.3.2. **DUE:** Within three Business Days following the initial discovery of the Fraud or suspected Fraud
 - 1.27.4. Contractor shall revise or provide additional information related to the Contractor Suspected Fraud Written Notice Form as requested by the Department.

- 1.27.4.1. **DELIVERABLE:** Contractor Suspected Fraud Written Notice Revisions and Additional Information
- 1.27.4.2. **DUE:** Within three Business Days following the Department's request, unless the Department provides for a different period in its request.

2. CONTRACTOR PERSONNEL

2.1. Personnel General Requirements

- 2.1.1. Contractor shall provide qualified Key Personnel and Other Personnel as necessary to perform the Work throughout the term of the Contract.
- 2.1.2. Contractor shall designate the following Key Personnel positions:
 - 2.1.2.1. Executive Director or Administrator
 - 2.1.2.2. Finance Director
 - 2.1.2.3. Case Management Director
 - 2.1.2.4. Continuous Quality Improvement Lead
 - 2.1.2.5. Contract Lead
 - 2.1.2.6. Information Technology Liaison
 - 2.1.2.7. Regional Accountable Entity (RAE) Liaison
 - 2.1.2.8. Medical Assistance (MA) Site/County Eligibility Liaison
 - 2.1.2.9. Member and Family Liaison
- 2.1.3. The Contract Lead shall be responsible for all of the following:
 - 2.1.3.1. Serving as Contractor's primary point of contact for the Department.
 - 2.1.3.2. Serving as Contractor's primary point of contact for contract deliverables and other contract related questions or issues for the Department.
 - 2.1.3.3. Ensuring the completion of all Work in accordance with the Contract's requirements. This includes, but is not limited to, ensuring the accuracy, timeliness and completeness of all work.
 - 2.1.3.4. Ensuring the timely submission and accuracy of all Deliverables submitted to the Department.
- 2.1.4. Contractor shall provide the Department with a final list of individuals assigned to the Contract and appropriate contact information for those individuals using the template provided by the Department. Contractors with more than one Defined Service Area must submit the final list of individuals assigned to the Contract using the template provided by the Department for each Defined Service Area. The Department shall determine which Key Personnel may be allocated across organizational functions, which Key Personnel must be dedicated to the Contract, and which Key Personnel or Other Personnel must be dedicated to each Defined Service Area.
 - 2.1.4.1. **DELIVERABLE:** Key Personnel, final list of individuals assigned to the Contract
 - 2.1.4.2. **DUE:** Within five Business Days after the Effective Date and annually by July 15th

- 2.1.5. Contractor shall update this list upon the Department's request to account for changes in the individuals assigned to the Contract.
- 2.1.5.1. **DELIVERABLE:** Key Personnel, updated list of individuals assigned to the Contract
- 2.1.5.2. **DUE:** Within five Business Days after any change to the Key Personnel list
- 2.1.6. Contractor shall not permit any individual proposed for assignment to Key Personnel positions to perform any Work prior to the Department's approval of that individual to be assigned as Key Personnel.
- 2.1.7. Other Personnel
 - 2.1.7.1. The Contractor shall have sufficient staffing levels to include case managers, case aids, supervisors, and other staff as necessary to complete the Work and to maintain caseload sizes to support the Work. The Contractor shall meet or exceed best practice standards as set forth by the Department for HCBS waiver caseloads. The Contractor shall not exceed the best practice caseload size standards without written approval from the Department.
 - 2.1.7.2. The Contractor's Case Manager(s) shall meet all of the qualifications listed in 10 C.C.R. 2505-10, Section 8.519.5 et seq.
 - 2.1.7.3. The Contractor shall ensure appropriate staffing and infrastructure to address the needs of all populations including children and adults for all HCBS waivers.
 - 2.1.7.4. All Key Personnel and Other Personnel assigned to this Contract shall complete annual Equity, Diversity, Inclusion, and Accessibility (EDIA) related training. Training must ensure staff are culturally competent and provide culturally responsive services and business practices at all levels of the agency. The Department's EDIA Officer and/or their designee will offer free EDIA-related professional development training to the Contractor upon request within the Department's LMS.
- 2.2. Background Checks
 - 2.2.1. The Contractor shall conduct background checks on all new applicants for positions in which direct care, as defined in section §26.3.1.101(3.5), C.R.S. will be provided to an at-risk adult, as defined in section §26-3.1-101 (1.5), C.R.S to include at a minimum a Colorado Bureau of Investigation check. On and after January 1, 2019, prior to employment, the Contractor shall submit the name of a person who will be providing direct care, to an at-risk adult, as well as any other required identifying information, to the Colorado Department of Human Services for a check of the Colorado Adult Protective Services data system pursuant to section §26-3.1-111, C.R.S. to determine if the person is substantiated in a case of mistreatment of an at-risk adult.
 - 2.2.2. If any of the Contractor's Key Personnel, or Other Personnel, are required to have and maintain any professional licensure or certification issued by any federal, state or local government agency, then the Contractor shall maintain copies of such current licenses and certifications and provide them to the Department upon request.
- 2.3. Personnel Availability
 - 2.3.1. Contractor shall ensure Key Personnel and Other Personnel assigned to the Contract are available for meetings with the Department during the Department's normal business hours, as determined by the Department. Contractor shall also make these personnel available outside of the Department's normal business hours and on weekends with prior notice from the Department.

- 2.3.2. Contractor's Key Personnel and Other Personnel shall be available for all regularly scheduled meetings between Contractor and the Department, unless the Department has granted prior written approval otherwise.
- 2.3.3. Contractor shall ensure that the Key Personnel and Other Personnel attending all meetings between the Department and Contractor have the authority to represent and commit Contractor regarding work planning, problem resolution and program development.
- 2.3.4. At the Department's direction, the Contractor shall make its Key Personnel and Other Personnel available to attend meetings as subject matter experts with stakeholders both within the State government and external private stakeholders.
- 2.3.5. All of Contractor's Key Personnel and Other Personnel that attend any meeting with the Department or other Department stakeholders shall be present at the meeting through video conference, telephonic, or in-person depending on the purpose and intent of the meeting. If Contractor has any personnel attend by telephone or video conference, Contractor shall provide all additional equipment necessary for attendance, including any virtual meeting space or telephone conference lines.
- 2.3.6. The Contractor shall respond to all telephone calls, voicemails, and emails from the Department within two Business Days of receipt by the Contractor.
- 2.4. Other Personnel Responsibilities
 - 2.4.1. Contractor shall use its discretion to determine the number of Other Personnel necessary to perform the Work in accordance with the requirements of this Contract. If the Department determines that Contractor has not provided sufficient Other Personnel to perform the Work in accordance with the requirements of this Contract, Contractor shall provide all additional Other Personnel necessary to perform the Work in accordance with the requirements of this Contract at no additional cost to the Department.
 - 2.4.2. Contractor shall ensure that all Other Personnel have sufficient training and experience to complete all portions of the Work assigned to them. Contractor shall provide all necessary training to its Other Personnel, except for State-provided training specifically described in this Contract.
 - 2.4.3. Contractor may subcontract to complete a portion of the Work required by the Contract. The conditions for using a Subcontractor or Subcontractors are as follows:
 - 2.4.3.1. Contractor shall not subcontract more than 40% of the Work.
 - 2.4.3.2. Contractor shall provide the organizational name of each Subcontractor and all items to be worked on by each Subcontractor to the Department for approval prior to commencement of Work.
 - 2.4.3.2.1. **DELIVERABLE:** Name of each Subcontractor, description of work being completed, and percentage of work being completed by the Subcontractor.
 - 2.4.3.2.2. **DUE:** Annually, by July 15th
 - 2.4.3.3. The Contractor shall notify the Department of any changes to Subcontractors within 10 Business Days of the change.
 - 2.4.3.4. The Contractor shall obtain prior consent and written approval for any use of Subcontractor(s).

3. INFORMATION TECHNOLOGY RELATED REQUIREMENTS

3.1. Protection of System Data

- 3.1.1. In addition to the requirements of the main body of this Contract, if Contractor or any Subcontractor is given access to State Records by the State or its agents in connection with Contractor's performance under the Contract, Contractor shall protect all State Records in accordance with this Exhibit. All provisions of this Exhibit that refer to Contractor shall apply equally to any Subcontractor performing work in connection with the Contract.
- 3.1.2. For the avoidance of doubt, the terms of this Exhibit shall apply to the extent that any of the following statements is true in regard to Contractor access, use, or disclosure of State Records:
 - 3.1.2.1. Contractor provides physical or logical storage of State Records.
 - 3.1.2.2. Contractor creates, uses, processes, discloses, transmits, or disposes of State Records.
 - 3.1.2.3. Contractor is otherwise given physical or logical access to State Records in order to perform Contractor's obligations under this Contract.
- 3.1.3. Contractor shall, and shall cause its Subcontractors, to do all of the following:
 - 3.1.3.1. Provide physical and logical protection for all hardware, software, applications, and data that meets or exceeds industry standards and the requirements of this Contract.
 - 3.1.3.2. Maintain network, system, and application security, which includes, but is not limited to, network firewalls, intrusion detection (host and network), annual security testing, and improvements or enhancements consistent with evolving industry standards.
 - 3.1.3.3. Comply with State and federal rules and regulations related to overall security, privacy, confidentiality, integrity, availability, and auditing.
 - 3.1.3.4. Provide that security is not compromised by unauthorized access to workspaces, computers, networks, software, databases, or other physical or electronic environments.
 - 3.1.3.5. Promptly report all Incidents, including Incidents that do not result in unauthorized disclosure or loss of data integrity, to the State.
- 3.1.4. Colorado Information Security Policy (CISP) Compliance
 - 3.1.4.1. Contractor shall assess its compliance with the CISPs, in effect at the time of the assessment, issued by the Governor's Office of Information Technology ("OIT") posted at www.oit.state.co.us/about/policies under Information Security.
 - 3.1.4.2. For the purposes of reviewing and assessing compliance with the CISPs, the Contractor shall consider itself to be both the Information Technology Service Provider (ITSP) and Business Owner.
 - 3.1.4.3. Contractor shall deliver to the State the signed CISP Attestation, on a form provided by the Department, indicating that Contractor has assessed its compliance with the CISPs and has developed a plan to correct, in a timely manner, any security vulnerabilities identified during the assessment.
 - 3.1.4.3.1. **DELIVERABLE:** CISP Attestation
 - 3.1.4.3.2. **DUE:** Within 30 Business Days after the Effective Date
 - 3.1.4.4. Contractor shall assess its compliance with the CISPs on an annual basis and deliver to the State the signed CISP Attestation, on a form provided by the Department.

- 3.1.4.4.1. **DELIVERABLE:** Annual CISP Attestation
- 3.1.4.4.2. **DUE:** Annually, by June 30th of each year
- 3.1.4.5. Contractor shall cause its Subcontractors to comply with the CISPs and to assess their compliance on at least an annual basis. If any Subcontractor's assessment determines that the Subcontractor is not in compliance, then Contractor shall ensure that Subcontractor corrects, in a timely manner, any security vulnerabilities identified during the assessment.
- 3.1.5. Health and Human Services HIPAA Security Rule Risk Assessments
 - 3.1.5.1. Contractor shall deliver to the State a signed Initial HHS Attestation, on a form provided by the Department, indicating that Contractor has conducted a risk assessment of its operations related to the services provided under this Contract that satisfies the requirement of 45 CFR. §164.308(a)(1)(ii)(A) (the "HIPAA Security Rule"), and that Contractor has developed a plan to correct, in a timely manner, any vulnerabilities in administrative, technical, or physical safeguards identified during the assessment.
 - 3.1.5.1.1. **DELIVERABLE:** Initial HHS Attestation
 - 3.1.5.1.2. **DUE:** Within 30 Business Days after the Effective Date
 - 3.1.5.2. Contractor shall conduct an annual risk assessment of its operations related to the services provided under this Contract that satisfies the requirement of the HIPAA Security Rule and deliver to the State the signed Annual HHS Attestation, on a form provided by the Department.
 - 3.1.5.2.1. **DELIVERABLE:** Annual HHS Attestation
 - 3.1.5.2.2. **DUE:** Annually, by June 30th of each year
 - 3.1.5.3. Contractor shall cause its Subcontractors to comply with the HIPAA Security Rule and assess their compliance on at least an annual basis. If any Subcontractor's assessment determines that the Subcontractor is not in compliance, then Contractor shall ensure that Subcontractor corrects, in a timely manner, any vulnerabilities in administrative, technical, or physical safeguards identified during the assessment.
- 3.1.6. Subject to Contractor's reasonable access security requirements and upon reasonable prior notice, Contractor shall provide the State with scheduled access for the purpose of inspecting and monitoring access and use of State Records, maintaining State systems, and evaluating physical and logical security control effectiveness.
- 3.1.7. Contractor shall perform background checks on all of its respective employees and agents performing services or having access to State Records provided under this Contract. A background check performed during the hiring process shall meet this requirement. Contractor shall perform a background check on any employee if the Contractor becomes aware of any reason to question the employability of an existing employee. Contractor shall require all Subcontractors to meet the standards of this requirement.
 - 3.1.7.1. Contractor shall deliver to the State the signed Background Check Attestation, on a form provided by the Department, indicating that background checks have been completed on employees participating in operations related to this Contract.
 - 3.1.7.1.1. **DELIVERABLE:** Background Check Attestation
 - 3.1.7.1.2. **DUE:** Within 30 Business Days of the Effective Date

- 3.1.7.2. If Contractor will have access to Federal Tax Information under the Contract, Contractor shall agree to the State's requirements regarding Safeguarding Requirements for Federal Tax Information and shall comply with the background check requirements defined in IRS Publication 1075 and §24-50-1002, C.R.S.
- 3.2. Data Handling
- 3.2.1. The State, in its sole discretion, may securely deliver State Records directly to Contractor. Contractor shall maintain these State Records only within facilities or locations that Contractor has attested are secure, including for the authorized and approved purposes of backup and disaster recovery purposes. Contractor may not maintain State Records in any data center or other storage location outside the United States for any purpose without the prior express written consent of the State.
- 3.2.2. Contractor shall not allow remote access to State Records from outside the United States, including access by Contractor's employees or agents, without the prior express written consent of OIS. Contractor shall communicate any request regarding non-U.S. access to State Records to the Security and Compliance Representative for the State. The State shall have sole discretion to grant or deny any such request.
- 3.2.3. Upon request by the State made any time prior to 60 days following the termination of this Contract for any reason, whether or not the Contract is expiring or terminating, Contractor shall make available to the State a complete and secure download file of all data that is encrypted and appropriately authenticated. This download file shall be made available to the State within 10 Business Days of the State's request, and shall contain, without limitation, all State Records, Work Product, and system schema and transformation definitions, or delimited text files with documents, detailed schema definitions along with attachments in its native format. Upon the termination of Contractor's provision of data processing services, Contractor shall, as directed by the State, return all State Records provided by the State to Contractor, and the copies thereof, to the State or destroy all such State Records and certify to the State that it has done so. If legislation imposed upon Contractor prevents it from returning or destroying all or part of the State Records provided by the State to Contractor, Contractor shall guarantee the confidentiality of all State Records provided by the State to Contractor and will not actively process such data anymore.
- 3.2.4. The State retains the right to use the established operational services to access and retrieve State Records stored on Contractor's infrastructure at its sole discretion and at any time. Upon request of the State or of the supervisory authority, Contractor shall submit its data processing facilities for an audit of the measures referred to in this Exhibit in accordance with the terms of this Contract.

EXHIBIT F, SAMPLE OPTION LETTER

OPTION LETTER

State Agency Department of Health Care Policy and Financing	Option Letter Number Insert the Option Number (e.g. "1" for the first option)
Contractor Insert Contractor's Full Legal Name, including "Inc.", "LLC", etc...	Original Contract Number Insert CMS number or Other Contract Number of the Original Contract
Current Contract Maximum Amount Initial Term State Fiscal Year 20xx \$0.00 Extension Terms State Fiscal Year 20xx \$0.00 State Fiscal Year 20xx \$0.00 State Fiscal Year 20xx \$0.00 State Fiscal Year 20xx \$0.00 Total for All State Fiscal Years \$0.00	Option Contract Number Insert CMS number or Other Contract Number of this Option Contract Performance Beginning Date The later of the Effective Date or Month Day, Year Current Contract Expiration Date Month Day, Year

1. Options

- A. Option to extend for an Extension Term.
- B. Option to change the quantity of Goods under the Contract.
- C. Option to change the quantity of Services under the Contract.
- D. Option to modify the Contract rates.
- E. Option to initiate next phase of the Contract.

2. Required Provisions

- A. **For use with Option 1(A):** In accordance with Section(s) Number of the Original Contract referenced above, the State hereby exercises its option for an additional term, beginning Insert start date and ending on the current contract expiration date shown above, at the rates stated in the Original Contract, as amended.
- B. **For use with Options 1(B and C):** In accordance with Section(s) Number of the Original Contract referenced above, the State hereby exercises its option to Increase/Decrease the quantity of the Goods/Services or both at the rates stated in the Original Contract, as amended.
- C. **For use with Option 1(D):** In accordance with Section(s) Number of the Original Contract referenced above, the State hereby exercises its option to modify the Contract rates specified in Exhibit/Section Number/Letter. The Contract rates attached to this Option Letter replace the rates in the Original Contract as of the Option Effective Date of this Option Letter.
- D. **For use with Option 1(E):** In accordance with Section(s) Number of the Original Contract referenced above, the State hereby exercises its option to initiate Phase indicate which Phase: 2, 3, 4, etc, which shall begin on Insert start date and end on Insert ending date at the cost/price specified in Section Number.
- E. **For use with all Options that modify the Contract Maximum Amount:** The Contract Maximum Amount table on the Contract's Signature and Cover Page is hereby deleted and replaced with the Current Contract Maximum Amount table shown above.

3. Option Effective Date

- a. The Effective Date of this Option Letter is upon approval of the State Controller or the Effective Date of this Option Letter, whichever is later.

<p style="text-align: center;">STATE OF COLORADO Jared S. Polis, Governor Department of Health Care Policy and Financing Kim Bimestefer, Executive Director</p> <hr/> <p style="text-align: center;">By: Kim Bimestefer, Executive Director</p> <p>Date: _____</p>	<p>In accordance with C.R.S. §24-30-202, this Option is not valid until signed and dated below by the State Controller or an authorized delegate.</p> <p style="text-align: center;">STATE CONTROLLER Robert Jaros, CPA, MBA, JD</p> <hr/> <p style="text-align: center;">By: Jerrod Cotosman, Controller, Department of Health Care Policy and Financing</p> <p>Option Effective Date: _____</p>
--	--

EXHIBIT G, FEDERAL PROVISIONS

1. APPLICABILITY OF PROVISIONS.

- 1.1. The Contract to which these Federal Provisions are attached has been funded, in whole or in part, with an Award of Federal funds. In the event of a conflict between the provisions of these Federal Provisions, the Special Provisions, the body of the Contract, or any attachments or exhibits incorporated into and made a part of the Contract, the provisions of these Federal Provisions shall control.

2. FFATA AND UNIFORM GUIDANCE REQUIREMENTS

2.1. Definitions.

- 2.1.1. For the purposes of these Federal Provisions, the following terms shall have the meanings ascribed to them below.

- 2.1.1.1. “Award” means an award of Federal financial assistance, and the Contract setting forth the terms and conditions of that financial assistance, that a non-Federal Entity receives or administers.

- 2.1.1.1.1. Awards may be in the form of:

- 2.1.1.1.1.1. Grants;

- 2.1.1.1.1.2. Contracts;

- 2.1.1.1.1.3. Cooperative Contracts, which do not include cooperative research and development Contracts (CRDA) pursuant to the Federal Technology Transfer Act of 1986, as amended (15 U.S.C. 3710);

- 2.1.1.1.1.4. Loans;

- 2.1.1.1.1.5. Loan Guarantees;

- 2.1.1.1.1.6. Subsidies;

- 2.1.1.1.1.7. Insurance;

- 2.1.1.1.1.8. Food commodities;

- 2.1.1.1.1.9. Direct appropriations;

- 2.1.1.1.1.10. Assessed and voluntary contributions; and

- 2.1.1.1.1.11. Other financial assistance transactions that authorize the expenditure of Federal funds by non-Federal Entities.

- 2.1.1.1.1.12. Any other items specified by OMB in policy memoranda available at the OMB website or other source posted by the OMB.

- 2.1.1.1.2. Award ***does not*** include:

- 2.1.1.1.2.1. Technical assistance, which provides services in lieu of money;

- 2.1.1.1.2.2. A transfer of title to Federally-owned property provided in lieu of money; even if the award is called a grant;

- 2.1.1.1.2.3. Any award classified for security purposes; or

- 2.1.1.1.2.4. Any award funded in whole or in part with Recovery funds, as defined in section 1512 of the American Recovery and Reinvestment Act (ARRA) of 2009 (Public Law 111-5).
- 2.1.1.2. “Contract” means the Contract to which these Federal Provisions are attached and includes all Award types in §2.1.1.1.1 of this Exhibit.
- 2.1.1.3. “Contractor” means the party or parties to a Contract funded, in whole or in part, with Federal financial assistance, other than the Prime Recipient, and includes grantees, subgrantees, Subrecipients, and borrowers. For purposes of Transparency Act reporting, Contractor does not include Vendors.
- 2.1.1.4. “Entity” means all of the following as defined at 2 CFR part 25, subpart C;
 - 2.1.1.4.1. A governmental organization, which is a State, local government, or Indian Tribe;
 - 2.1.1.4.2. A foreign public entity;
 - 2.1.1.4.3. A domestic or foreign non-profit organization;
 - 2.1.1.4.4. A domestic or foreign for-profit organization; and
 - 2.1.1.4.5. A Federal agency, but only a Subrecipient under an Award or Subaward to a non-Federal entity.
- 2.1.1.5. “Executive” means an officer, managing partner or any other employee in a management position.
- 2.1.1.6. “Federal Award Identification Number (FAIN)” means an Award number assigned by a Federal agency to a Prime Recipient.
- 2.1.1.7. “Federal Awarding Agency” means a Federal agency providing a Federal Award to a Recipient as described in 2 CFR §200.37
- 2.1.1.8. “FFATA” means the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by §6202 of Public Law 110-252. FFATA, as amended, also is referred to as the “Transparency Act.”
- 2.1.1.9. “Federal Provisions” means these Federal Provisions subject to the Transparency Act and Uniform Guidance, as may be revised pursuant to ongoing guidance from the relevant Federal or State of Colorado agency or institutions of higher education.
- 2.1.1.10. “OMB” means the Executive Office of the President, Office of Management and Budget.
- 2.1.1.11. “Prime Recipient” means a Colorado State agency or institution of higher education that receives an Award.
- 2.1.1.12. “Subaward” means an award by a Recipient to a Subrecipient funded in whole or in part by a Federal Award. The terms and conditions of the Federal Award flow down to the Award unless the terms and conditions of the Federal Award specifically indicate otherwise in accordance with 2 CFR §200.38. The term does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program.

- 2.1.1.13. “Subrecipient” means a non-Federal Entity (or a Federal agency under an Award or Subaward to a non-Federal Entity) receiving Federal funds through a Prime Recipient to support the performance of the Federal project or program for which the Federal funds were awarded. A Subrecipient is subject to the terms and conditions of the Federal Award to the Prime Recipient, including program compliance requirements. The term “Subrecipient” includes and may be referred to as Subgrantee. The term does not include an individual who is a beneficiary of a federal program.
- 2.1.1.14. “Subrecipient Unique Entity Identifier” means the subrecipient organization’s 12-digit Unique Entity Identifier (UEI) number that appears in the subrecipient’s System for Award Management (SAM) profile, if applicable.
- 2.1.1.15. “System for Award Management (SAM)” means the Federal repository into which an Entity must enter the information required under the Transparency Act, which may be found at <http://www.sam.gov>.
- 2.1.1.16. “Total Compensation” means the cash and noncash dollar value earned by an Executive during the Prime Recipient’s or Subrecipient’s preceding fiscal year and includes the following:
- 2.1.1.16.1. Salary and bonus;
 - 2.1.1.16.2. Awards of stock, stock options, and stock appreciation rights, using the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2005) (FAS 123R), Shared Based Payments;
 - 2.1.1.16.3. Earnings for services under non-equity incentive plans, not including group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of Executives and are available generally to all salaried employees;
 - 2.1.1.16.4. Change in present value of defined benefit and actuarial pension plans;
 - 2.1.1.16.5. Above-market earnings on deferred compensation which is not tax-qualified;
 - 2.1.1.16.6. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the Executive exceeds \$10,000.
- 2.1.1.17. “Transparency Act” means the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by §6202 of Public Law 110-252. The Transparency Act also is referred to as FFATA.
- 2.1.1.18. “Uniform Guidance” means the Office of Management and Budget Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, which supersedes requirements from OMB Circulars A-21, A-87, A-110, and A-122, OMB Circulars A-89, A-102, and A-133, and the guidance in Circular A-50 on Single Audit Act follow-up. The terms and conditions of the Uniform Guidance flow down to Awards to Subrecipients unless the Uniform Guidance or the terms and conditions of the Federal Award specifically indicate otherwise.

2.1.1.19. “Vendor” means a dealer, distributor, merchant or other seller providing property or services required for a project or program funded by an Award. A Vendor is not a Prime Recipient or a Subrecipient and is not subject to the terms and conditions of the Federal award. Program compliance requirements do not pass through to a Vendor.

2.2. Compliance.

2.2.1. Contractor shall comply with all applicable provisions of the Transparency Act, all applicable provisions of the Uniform Guidance, and the regulations issued pursuant thereto, including but not limited to these Federal Provisions. Any revisions to such provisions or regulations shall automatically become a part of these Federal Provisions, without the necessity of either party executing any further instrument. The State of Colorado may provide written notification to Contractor of such revisions, but such notice shall not be a condition precedent to the effectiveness of such revisions.

2.3. System for Award Management (SAM) and Unique Entity Identifier (UEI) Number Requirements.

2.3.1. SAM. Contractor shall maintain the currency of its information in SAM until the Contractor submits the final financial report required under the Award or receives final payment, whichever is later. Contractor shall review and update SAM information at least annually after the initial registration, and more frequently if required by changes in its information.

2.3.2. UEI. Contractor shall provide its UEI number to its Prime Recipient, and shall update Contractor’s information in SAM at least annually after the initial registration, and more frequently if required by changes in Contractor’s information.

2.4. Total Compensation.

2.4.1. Contractor shall include Total Compensation in SAM for each of its five most highly compensated Executives for the preceding fiscal year if:

2.4.1.1. The total Federal funding authorized to date under the Award is \$25,000 or more; and

2.4.1.2. In the preceding fiscal year, Contractor received:

2.4.1.2.1. 80% or more of its annual gross revenues from Federal procurement contracts and subcontracts and/or Federal financial assistance Awards or Subawards subject to the Transparency Act; and

2.4.1.2.2. \$25,000,000 or more in annual gross revenues from Federal procurement contracts and subcontracts and/or Federal financial assistance Awards or Subawards subject to the Transparency Act; and

2.4.1.3. The public does not have access to information about the compensation of such Executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d) or § 6104 of the Internal Revenue Code of 1986.

2.5. Reporting.

2.5.1. Contractor shall report data elements to SAM and to the Prime Recipient as required in this Exhibit if Contractor is a Subrecipient for the Award pursuant to the Transparency Act. No direct payment shall be made to Contractor for providing any reports required under these Federal Provisions and the cost of producing such reports shall be included in the Contract price. The reporting requirements in this Exhibit are based on guidance from the US Office of Management and Budget (OMB), and as such are subject to change at any time by OMB. Any such changes shall be automatically incorporated into this Contract and shall become part of Contractor's obligations under this Contract.

2.6. Effective Date and Dollar Threshold for Reporting.

2.6.1. Reporting requirements in §2.7 below apply to new Awards as of October 1, 2010, if the initial award is \$25,000 or more. If the initial Award is below \$25,000 but subsequent Award modifications result in a total Award of \$25,000 or more, the Award is subject to the reporting requirements as of the date the Award exceeds \$25,000. If the initial Award is \$25,000 or more, but funding is subsequently de-obligated such that the total award amount falls below \$25,000, the Award shall continue to be subject to the reporting requirements.

2.6.2. The procurement standards in §2.8 below are applicable to new Awards made by Prime Recipient as of December 26, 2015. The standards set forth in §2.10 below are applicable to audits of fiscal years beginning on or after December 26, 2014.

2.7. Subrecipient Reporting Requirements.

2.7.1. If Contractor is a Subrecipient, Contractor shall report as set forth below.

2.7.1.1. **To SAM.** A Subrecipient shall register in SAM and report the following data elements in SAM *for each* Federal Award Identification Number no later than the end of the month following the month in which the Subaward was made:

2.7.1.1.1. Subrecipient UEI Number;

2.7.1.1.2. Subrecipient UEI Number + 4 if more than one electronic funds transfer (EFT) account;

2.7.1.1.3. Subrecipient's address, including: Street Address, City, State, Country, Zip + 4, and Congressional District;

2.7.1.1.4. Subrecipient's top 5 most highly compensated Executives if the criteria in §4 above are met; and

2.7.1.1.5. Subrecipient's Total Compensation of top 5 most highly compensated Executives if criteria in §4 above met.

2.7.1.2. **To Prime Recipient.** A Subrecipient shall report to its Prime Recipient, upon the effective date of the Contract, the following data elements:

2.7.1.2.1. Subrecipient's UEI Number as registered in SAM.

2.7.1.2.2. Primary Place of Performance Information, including: Street Address, City, State, Country, Zip code + 4, and Congressional District.

2.8. Procurement Standards.

- 2.8.1. Procurement Procedures. A Subrecipient shall use its own documented procurement procedures which reflect applicable State, local, and Tribal laws and regulations, provided that the procurements conform to applicable Federal law and the standards identified in the Uniform Guidance, including without limitation, §§200.318 through 200.326 thereof.
- 2.8.2. Procurement of Recovered Materials. If a Subrecipient is a State Agency or an agency of a political subdivision of the State, its contractors must comply with section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds \$10,000 or the value of the quantity acquired during the preceding fiscal year exceeded \$10,000; procuring solid waste management services in a manner that maximizes energy and resource recovery; and establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.
- 2.9. Access to Records
 - 2.9.1. A Subrecipient shall permit Recipient and auditors to have access to Subrecipient's records and financial statements as necessary for Recipient to meet the requirements of §200.331 (Requirements for pass-through entities), §§200.300 (Statutory and national policy requirements) through 200.309 (Period of performance), and Subpart F-Audit Requirements of the Uniform Guidance. 2 CFR §200.331(a)(5).
- 2.10. Single Audit Requirements
 - 2.10.1. If a Subrecipient expends \$750,000 or more in Federal Awards during the Subrecipient's fiscal year, the Subrecipient shall procure or arrange for a single or program-specific audit conducted for that year in accordance with the provisions of Subpart F-Audit Requirements of the Uniform Guidance, issued pursuant to the Single Audit Act Amendments of 1996, (31 U.S.C. 7501-7507). 2 CFR §200.501.
 - 2.10.1.1. **Election.** A Subrecipient shall have a single audit conducted in accordance with Uniform Guidance §200.514 (Scope of audit), except when it elects to have a program-specific audit conducted in accordance with §200.507 (Program-specific audits). The Subrecipient may elect to have a program-specific audit if Subrecipient expends Federal Awards under only one Federal program (excluding research and development) and the Federal program's statutes, regulations, or the terms and conditions of the Federal award do not require a financial statement audit of Prime Recipient. A program-specific audit may not be elected for research and development unless all of the Federal Awards expended were received from Recipient and Recipient approves in advance a program-specific audit.
 - 2.10.1.2. **Exemption.** If a Subrecipient expends less than \$750,000 in Federal Awards during its fiscal year, the Subrecipient shall be exempt from Federal audit requirements for that year, except as noted in 2 CFR §200.503 (Relation to other audit requirements), but records shall be available for review or audit by appropriate

officials of the Federal agency, the State, and the Government Accountability Office.

- 2.10.1.3. **Subrecipient Compliance Responsibility.** A Subrecipient shall procure or otherwise arrange for the audit required by Part F of the Uniform Guidance and ensure it is properly performed and submitted when due in accordance with the Uniform Guidance. Subrecipient shall prepare appropriate financial statements, including the schedule of expenditures of Federal awards in accordance with Uniform Guidance §200.510 (Financial statements) and provide the auditor with access to personnel, accounts, books, records, supporting documentation, and other information as needed for the auditor to perform the audit required by Uniform Guidance Part F-Audit Requirements.

2.11. Contract Provisions for Subrecipient Contracts

- 2.11.1. If Contractor is a Subrecipient, then it shall comply with and shall include all of the following applicable provisions in all subcontracts entered into by it pursuant to this Contract.

- 2.11.1.1. **Equal Employment Opportunity.** Except as otherwise provided under 41 CFR Part 60, all contracts that meet the definition of “federally assisted construction contract” in 41 CFR Part 60-1.3 shall include the equal opportunity clause provided under 41 CFR 60-1.4(b), in accordance with Executive Order 11246, “Equal Employment Opportunity” (30 FR 12319, 12935, 3 CFR Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, “Amending Executive Order 11246 Relating to Equal Employment Opportunity,” and implementing regulations at 41 CFR part 60, “Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor.

- 2.11.1.1.1. During the performance of this contract, the contractor agrees as follows:

- 2.11.1.1.1.1. Contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin. The contractor will take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to the following: Employment, upgrading, demotion, or transfer, recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the contracting officer setting forth the provisions of this nondiscrimination clause.

- 2.11.1.1.1.2. Contractor will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.

- 2.11.1.1.1.3. Contractor will send to each labor union or representative of workers with which he has a collective bargaining Contract or other contract or

understanding, a notice to be provided by the agency contracting officer, advising the labor union or workers' representative of the contractor's commitments under section 202 of Executive Order 11246 of September 24, 1965, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

- 2.11.1.1.1.4. Contractor will comply with all provisions of Executive Order 11246 of September 24, 1965, and of the rules, regulations, and relevant orders of the Secretary of Labor.
- 2.11.1.1.1.5. Contractor will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by the rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and will permit access to his books, records, and accounts by the contracting agency and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- 2.11.1.1.1.6. In the event of Contractor's non-compliance with the nondiscrimination clauses of this contract or with any of such rules, regulations, or orders, this contract may be canceled, terminated or suspended in whole or in part and the contractor may be declared ineligible for further Government contracts in accordance with procedures authorized in Executive Order 11246 of September 24, 1965, and such other sanctions may be imposed and remedies invoked as provided in Executive Order 11246 of September 24, 1965, or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.
- 2.11.1.1.1.7. Contractor will include the provisions of paragraphs (1) through (7) in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to section 204 of Executive Order 11246 of September 24, 1965, so that such provisions will be binding upon each subcontractor or vendor. The contractor will take such action with respect to any subcontract or purchase order as may be directed by the Secretary of Labor as a means of enforcing such provisions including sanctions for noncompliance: Provided, however, that in the event Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction, the contractor may request the United States to enter into such litigation to protect the interests of the United States.”
- 2.11.1.2. **Davis-Bacon Act.** Davis-Bacon Act, as amended (40 U.S.C. 3141-3148). When required by Federal program legislation, all prime construction contracts in excess of \$2,000 awarded by non-Federal entities must include a provision for compliance with the Davis-Bacon Act (40 U.S.C. 3141-3144, and 3146-3148) as supplemented by Department of Labor regulations (29 CFR Part 5, “Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction”). In accordance with the statute, contractors must be required to pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. In addition, contractors must

be required to pay wages not less than once a week. The non-Federal entity must place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation. The decision to award a contract or subcontract must be conditioned upon the acceptance of the wage determination. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency. The contracts must also include a provision for compliance with the Copeland “Anti-Kickback” Act (40 U.S.C. 3145), as supplemented by Department of Labor regulations (29 CFR Part 3, “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States”). The Act provides that each contractor or Subrecipient must be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he or she is otherwise entitled. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency.

- 2.11.1.3. **Rights to Inventions Made Under a Contract or Contract.** If the Federal Award meets the definition of “funding Contract” under 37 CFR §401.2 (a) and Subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that “funding Contract,” Subrecipient must comply with the requirements of 37 CFR Part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Contracts,” and any implementing regulations issued by the awarding agency.
- 2.11.1.4. **Clean Air Act (42 U.S.C. 7401-7671q.) and the Federal Water Pollution Control Act (33 U.S.C. 1251-1387), as amended.** Contracts and subgrants of amounts in excess of \$150,000 must contain a provision that requires the non-Federal award to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251-1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA).
- 2.11.1.5. **Debarment and Suspension (Executive Orders 12549 and 12689).** A contract award (see 2 CFR 180.220) must not be made to parties listed on the government wide exclusions in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR part 1989 Comp., p. 235), “Debarment and Suspension.” SAM Exclusions contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.
- 2.11.1.6. **Byrd Anti-Lobbying Amendment (31 U.S.C. 1352).** Contractors that apply or bid for an award exceeding \$100,000 must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining

any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.

2.12. Certifications.

2.12.1. Unless prohibited by Federal statutes or regulations, Recipient may require Subrecipient to submit certifications and representations required by Federal statutes or regulations on an annual basis. 2 CFR §200.208. Submission may be required more frequently if Subrecipient fails to meet a requirement of the Federal award. Subrecipient shall certify in writing to the State at the end of the Award that the project or activity was completed or the level of effort was expended. 2 CFR §200.201(3). If the required level of activity or effort was not carried out, the amount of the Award must be adjusted.

2.13. Exemptions.

2.13.1. These Federal Provisions do not apply to an individual who receives an Award as a natural person, unrelated to any business or non-profit organization the individual may own or operate in their name.

2.13.2. A Contractor with gross income from all sources of less than \$300,000 in the previous tax year is exempt from the requirements to report Subawards and the Total Compensation of its most highly compensated Executives.

2.13.3. There are no Transparency Act reporting requirements for Vendors.

2.14. Event of Default.

2.14.1. Failure to comply with these Federal Provisions shall constitute an event of default under the Contract and the State of Colorado may terminate the Contract upon 30 days prior written notice if the default remains uncured five calendar days following the termination of the 30 day notice period. This remedy will be in addition to any other remedy available to the State of Colorado under the Contract, at law or in equity.

3. NONDISCRIMINATION UNDER FEDERAL AND STATE AUTHORITY

3.1. In addition to the statutes described in section 2.11 above, the Contractor shall also at all times during the term of this Contract strictly adhere to, and comply with, all applicable Federal and State laws, and their implementing regulations, as they currently exist and may hereafter be amended, which are incorporated herein by this reference as terms and conditions of this Contract. The Contractor shall also require compliance with these statutes and regulations in subcontracts and subgrants permitted under this Contract. Applicable Federal and State law and regulations include:

Age Discrimination Act of 1975, as amended	42 U.S.C. 6101, et seq., 45 CFR 90, 45 CFR 91
Age Discrimination in Employment Act of 1967	29 U.S.C. 621-634
Americans with Disabilities Act of 1990 (ADA)	42 U.S.C. 12101, et seq., 28 CFR Part 35
Equal Pay Act of 1963	29 U.S.C. 206(d)
Federal Water Pollution Control Act, as amended	33 U.S.C. 1251, et seq.
Immigration Reform and Control Act of 1986	8 U.S.C. 1324b
Section 504 of the Rehabilitation Act of 1973, as amended	29 U.S.C. 794, 45 CFR 84, 45 CFR 85
Section 508 of the Rehabilitation Act of 1973	29 USC 794, 36 CFR 1194
Title VI of the Civil Rights Act of 1964, as amended	42 U.S.C. 2000d, 45 CFR 80
Title VII of the Civil Rights Act of 1964	42 U.S.C. 2000e, 29 CFR 1606.2
Title IX of the Education Amendments of 1972, as amended	20 U.S.C. 1681
Civil Rights Division	Section 24-34-301, CRS, <i>et seq.</i>

3.2. The Contractor also shall comply with any and all laws and regulations prohibiting discrimination in the specific program(s) which is/are the subject of this Contract. In consideration of and for the purpose of obtaining any and all federal and/or state financial assistance, the Contractor makes the following assurances, upon which the State relies.

3.2.1. The Contractor shall not discriminate against any person on the basis of race, color, ethnic or national origin, ancestry, age, sex, gender, sexual orientation, gender identity and expression, religion, creed, political beliefs, or disability, including Acquired Immune Deficiency Syndrome (AIDS) or AIDS-related conditions, in performance of Work under this Contract

3.2.2. At all times during the performance of this Contract, no qualified individual with a disability shall, by reason of such disability, be excluded from participation in, or denied benefits of the service, programs, or activities performed by the Contractor, or be subjected to any discrimination by the Contractor.

3.2.3. All websites and web content must meet Web Content Accessibility Guidelines (WCAG) 2.1 Level AA standards, as issued by the World Wide Web Consortium.

3.3. Procurement Provisions

- 3.3.1. The Contractor shall take all necessary affirmative steps, as required by 45 C.F.R. 92.36(e), Colorado Executive Order and Procurement Rules, to assure that small and minority businesses and women's business enterprises are used, when possible, as sources of supplies, equipment, construction, and services purchased under this Contract.

4. FEDERAL FINANCIAL PARTICIPATION RELATED INTELLECTUAL PROPERTY OWNERSHIP

- 4.1. In addition to the intellectual property ownership rights specified in the Contract, the following subsections enumerate the intellectual property ownership requirements the Contractor shall meet during the term of the Contract in relation to federal financial participation under 42 CFR §433.112 and 45 CFR §95.617.
 - 4.1.1. The Contractor shall notify the State before designing, developing, creating or installing any new data, new software or modification of a software using Contract Funds. The Contractor shall not proceed with such designing, development, creation or installation of data or software without express written approval from the State.
 - 4.1.2. If the Contractor uses Contract Funds to develop necessary materials, including, but not limited to, programs, products, procedures, data and software to fulfill its obligations under the Contract, the Contractor shall document all Contract Funds used in the development of the Work Product, including, but not limited to the materials, programs, procedures, and any data, software or software modifications.
 - 4.1.2.1. The terms of this Contract will encompass sole payment for any and all Work Product and intellectual property produced by the Contractor for the State. The Contractor shall not receive any additional payments for licenses, subscriptions, or to remove a restriction on any intellectual property Work Product related to or developed under the terms of this Contract.
 - 4.1.3. The Contractor shall provide the State comprehensive and exclusive access to and disclose all details of the Work Product produced using Contract Funds.
 - 4.1.4. The Contractor shall hereby assign to the State, without further consideration, all right, interest, title, ownership and ownership rights in all work product and deliverables prepared and developed by the Contractor for the State, either alone or jointly, under this Contract, including, but not limited to, data, software and software modifications designed, developed, created or installed using Contract Funds, as allowable in the United States under 17 U.S.C.S. §201 and §204 and in any foreign jurisdictions.
 - 4.1.4.1. Such assigned rights include, but are not limited to, all rights granted under 17 U.S.C.S §106, the right to use, sell, license or otherwise transfer or exploit the Work Product and the right to make such changes to the Work Product as determined by the State.
 - 4.1.4.2. This assignment shall also encompass any and all rights under 17 U.S.C.S §106A, also referred to as the Visual Artists Rights Act of 1990 (VARA), and any and all moral rights to the Work Product.

- 4.1.4.3. The Contractor shall require its employees and agents to, promptly sign and deliver any documents and take any action the State reasonably requests to establish and perfect the rights assigned to the State or its designees under these provisions.
- 4.1.4.4. The Contractor shall execute the assignment referenced herein immediately upon the creation of the Work Product pursuant to the terms of this Contract.
- 4.1.5. The State claims sole ownership and all ownership rights in all copyrightable software designed, developed, created or installed under this contract, including, but not limited to:
 - 4.1.5.1. Data and software, or modifications thereof created, designed or developed using Contract Funds.
 - 4.1.5.2. Associated documentation and procedures designed and developed to produce any systems, programs, reports and documentation.
 - 4.1.5.3. All other Work Products or documents created, designed, purchased, or developed by the Contractor and funded using Contract Funds.
- 4.1.6. All ownership and ownership rights pertaining to Work Product created in the performance of this Contract will vest with the State, regardless of whether the Work Product was developed by the Contractor or any Subcontractor.
- 4.1.7. The Contractor shall fully assist in and allow without dispute, both during the term of this Contract and after its expiration, registration by the State of any and all copyrights and other intellectual property protections and registrations in data, software, software modifications or any other Work Product created, designed or developed using Contract Funds.
- 4.1.8. The State reserves a royalty-free, non-exclusive and irrevocable license to produce, publish or otherwise use such software, modifications, documentation and procedures created using Contract Funds on behalf of the State, the Federal Department of Health and Human Services (HHS) and its contractors. Such data and software includes, but is not limited to, the following:
 - 4.1.8.1. All computer software and programs, which have been designed or developed for the State, or acquired by the Contractor on behalf of the State, which are used in performance of the Contract.
 - 4.1.8.2. All internal system software and programs developed by the Contractor or subcontractor, including all source codes, which result from the performance of the Contract; excluding commercial software packages purchased under the Contractor's own license.
 - 4.1.8.3. All necessary data files.
 - 4.1.8.4. User and operation manuals and other documentation.
 - 4.1.8.5. System and program documentation in the form specified by the State.
 - 4.1.8.6. Training materials developed for State staff, agents or designated representatives in the operation and maintenance of this software.

EXHIBIT H, PII CERTIFICATION**STATE OF COLORADO
THIRD PARTY ENTITY / ORGANIZATION CERTIFICATION FOR ACCESS TO PII
THROUGH A DATABASE OR AUTOMATED NETWORK**

Pursuant to § 24-74-105, C.R.S., I, Erin Eulenfeld, on behalf of Foothills Gateway, Inc. (legal name of entity / organization) (the "Organization"), hereby certify under the penalty of perjury that the Organization has not and will not use or disclose any Personal Identifying Information, as defined by § 24-74-102(1), C.R.S., for the purpose of investigating for, participating in, cooperating with, or assisting Federal Immigration Enforcement, including the enforcement of civil immigration laws, and the Illegal Immigration and Immigrant Responsibility Act, which is codified at 8 U.S.C. §§ 1325 and 1326, unless required to do so to comply with Federal or State law, or to comply with a court-issued subpoena, warrant or order. I hereby represent and certify that I have full legal authority to execute this certification on behalf of the Organization.

Signature: _____

Printed Name: _____

Title: _____

Date: _____

DocuSigned by:



D532427C9DA44F2

Erin EulenfeldCEO1/24/2024 | 11:26 PST

EXHIBIT I, SUPPLEMENTAL PROVISIONS FOR FEDERAL AWARDS

For the purposes of this Exhibit only, Contractor is also identified as “Subrecipient.” This Contract has been funded, in whole or part, with an award of Federal Funds. In the event of a conflict between the provisions of these Supplemental Provisions for Federal Awards, the Special Provisions, the Contract or any attachments or exhibits incorporated into and made a part of the Contract, the Supplemental Provisions for Federal Awards shall control. In the event of a conflict between the Supplemental Provisions for Federal Award and the FFATA Supplemental Provisions (if any), the FFATA Supplemental Provisions shall control.

1) Federal Award Identification

- i. Subrecipient: Foothills Gateway, Inc;
- ii. Subrecipient Unique Entity Identifier (UEI) Number: EJQEEMVHHAU7;
- iii. The Federal Award Identification Number (FAIN): 1805CO5ADM;
- iv. The Federal Award date is: 3/1/2024;
- v. The subaward period of performance start date is 3/1/2024 and the end date is 6/30/2031, or the date in which your contract ends or whichever date comes sooner.
- vi. Federal Funds:

Contract or Fiscal Year	Amount of Federal Funds obligated by this Contract	Total amount of Federal Funds obligated to the Subrecipient	Total amount of the Federal Award
Fiscal Year 2023-24	TBD	TBD	TBD

- vii. Federal Award project description: To secure case management and administrative activities for applicants and individuals enrolled in the Home and Community Based Services Medicaid Waivers, Hospital Back-Up Program, Intermediate Care Facilities for Intellectual and Developmental Disabilities, Long Term Home Health, Nursing Facilities, and the Program for All-Inclusive Care for the Elderly. The Contractor was selected by the State in accordance with C.R.S. §25.5-1-101, et seq., C.R.S. and C.R.S. §25.5-6-1703, et seq.
- viii. The name of the Federal awarding agency is the United States Centers for Medicare & Medicaid Services (CMS); the name of the pass-through entity is the Colorado Department of Health Care Policy & Financing (HCPF); and the contact information for the awarding official is Amanda Allen, Financial Compliance and Monitoring Section Manager, Office of Community Living, 1570 Grant Street, Denver, CO 80203, Amanda.Allen@state.co.us, 303-866-5668.
- ix. The Catalog of Federal Domestic Assistance (CFDA) number is 93.778, the name is Medical Assistance Program, and the dollar amount is TBD.
- x. This award is not for research & development.

EXHIBIT J, SUBRECIPIENT OF FEDERAL AWARD STATUS

By submitting a proposal and responding to HCPF Solicitation #RFP UHAA 2023000170, Offeror's Response #1. f, each Offeror was required to attest that the Offeror understands and agrees to their obligations as a subrecipient of federal award.

As this Contract is awarded off #RFP UHAA 2023000170, Contractor agrees to the following:

- 1) Contractor understands their obligations as a subrecipient of federal award and has read and understands their obligations under 2 CFR Part 200.
- 2) Contractor understands and agrees that funds provided via the Contract must be spent on allowable activities in alignment with 2 CFR Part 200, state regulation, and this Contract.
- 3) Contractor understands and agrees that any unspent funds must be returned to the Department following the end of the Period of Performance, as identified by the Department.