

**FOURTH AMENDATORY AGREEMENT
TEMPORARY ASSISTANCE FOR NEEDY FAMILIES (“TANF”)**

THIS FOURTH AMENDATORY AGREEMENT is made between the **CITY AND COUNTY OF DENVER**, a municipal corporation of the State of Colorado (hereinafter referred to as the “City”), for and on behalf of the **DENVER DEPARTMENT OF HUMAN SERVICES**, (“County” or “DHS”) and **Mile High Montessori Early Learning Centers**, a nonprofit corporation, with an address of 1799 Pennsylvania Street, 4th Floor, 80203 (the “Contractor”), individually a “Party” and jointly, the “Parties.”

The City and Contractor entered into an Agreement dated August 25, 2015, an Amendatory Agreement dated August 26, 2016, a Second Amendatory Agreement dated July 12, 2017, and a Third Amendatory Agreement dated August 1, 2018, to provide TANF support services (together, the “Agreement”). The Parties now wish to extend the term of the Agreement for an additional one-year term, modify the scope of work and budget, and increase the maximum contract amount.

The Parties agree as follows:

1. Effective July 1, 2019, all references to Exhibits “A, A-1, A-2, and A-3” in the existing Agreement shall be amended to read Exhibits “A, A-1, A-2, A-3, and A-4,” as applicable. Exhibit A-4 is attached and will control from and after July 1, 2019.

2. Effective July 1, 2019, this Agreement is subject to a new Exhibit B-1, attached hereto and incorporated herein.

3. Section 3 of the Agreement, entitled “**TERM**,” is amended by deleting and replacing it with the following:

“**3. TERM**: The term of the Agreement is from July 1, 2015, to June 30, 2020 (the “Term”). Subject to the Executive Director’s prior written authorization, the Contractor shall complete any work in progress as of the then current expiration date and the Term will extend until the work is completed or earlier terminated.”

4. Section 4.d (1) of the Agreement, entitled “**COMPENSATION AND PAYMENT, Maximum Contract Amount**” is amended by deleted and replacing it with the following:

“(1) Notwithstanding any other provision of the Agreement, the City’s maximum payment obligation will not exceed the amount of **One Million Fifty-Three Thousand Ninety-Six Dollars and Zero Cents** (\$1,053,096.00) (the “Maximum Contract Amount”). The City is not obligated to execute an Agreement or

any amendments for any further services, including any services performed by Contractor beyond that specifically described in Exhibit A, A-1, A-2, A-3, and A-4. Any services performed beyond those in Exhibit A, A-1, A-2, A-3, and A-4, are performed at Contractor's risk and without authorization under the Agreement.”

5. Except as amended here, the Agreement is affirmed and ratified in each and every particular.

6. This Fourth Amendatory Agreement is not effective or binding on the City until it has been fully executed by all required signatories of the City and County of Denver, and if required by Charter, approved by the City Council.

End.

Signature pages and Exhibits follow this page.

Exhibit List

Exhibit A-4

Exhibit B-1

Contract Control Number:

IN WITNESS WHEREOF, the parties have set their hands and affixed their seals at Denver, Colorado as of

SEAL

CITY AND COUNTY OF DENVER

ATTEST:

By _____

APPROVED AS TO FORM:

REGISTERED AND COUNTERSIGNED:

By _____

By _____

By _____



Contract Control Number: SOCSV-201522525-04

Contractor Name: MILE HIGH MONTESSORI EARLY LEARNING
CENTERS

By: Pamela Harris

Name: Pamela Harris
(please print)

Title: President & CEO
(please print)

ATTEST: [if required]

By: _____

Name: _____
(please print)

Title: _____
(please print)





I. Purpose of Agreement

The purpose of the contract is to establish an agreement and Scope of Work between Denver Human Services (DHS) and Mile High Montessori Early Learning Centers (MHM) d.b.a. Mile High Early Learning (MHEL). Under this agreement MHM will provide drop-in, short term child care at the Good Beginnings Child Care Center (GBCCC) located on the first floor of the Richard T. Castro Human Services building, 1200 Federal Blvd., Denver, Colorado 80204.

Further, Mile High Montessori Early Learning Centers (MHM) d.b.a. Mile High Early Learning (MHEL) is identified as a subrecipient for the purposes of this agreement and is therefore subject to all terms, conditions and regulatory requirement required of federal funding subrecipients per 2 CFR Part 200, as well as specific rules and regulations for Colorado Works/Temporary Assistance to Needy Families (TANF) program.

II. Services

- A.** The GBCCC is an on-site, drop-in or scheduled, no-cost facility specifically available to Denver Human Services clients while they are participating in programs, classes, job search workshops, interviews, and orientations primarily for Temporary Assistance to Needy Families (TANF) eligible families.

MHM is responsible for the daily operations of the GBCCC and will provide the following services:

1. Provide care for up to ten (10) infants, seven (7) toddlers, ten (10) preschoolers, and ten (10) school aged children daily, on a scheduled referral basis.
2. The ratio for teacher to infant is kept at 1:5. The toddler room ratio is 1:7 with the ability to send the older toddlers to the preschool room if necessary. The preschool class has a capacity for fifteen (15) children, but the ratio is kept at 1:10. The school age room ratio is 1:10 A floater employee is utilized when ratios are at risk of being exceeded.
3. Hours of operation are 7:30 a.m. to 4:00 p.m., except for weekends, city holidays, furlough and building closure days.
4. Child care is provided to parent(s) who are attending job search workshops, interviews, orientations, or other planned activities at DHS. Parents are informed of the availability of the GBCCC services through their DHS case worker as well as through fliers that are distributed to the community. Referrals will continue until the daily capacity for the Center has been reached.
5. Children served range from six (6) weeks through twelve (12) years of age.
6. The GBCCC Director shall be responsible for the general oversight of the Center's operations including staffing, maintaining ratios, ensuring that report statistics are in line with DHS expectations, submission of all required reports and information requested by DHS, working with parents who have special



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- circumstances or issues, and working with the DHS GBCCC supervisor to ensure expectations are being met.
7. All GBCCC assistant teachers will work under the supervision of the Center Director. Each assistant teacher has completed core courses to work in a licensed child care center.
 8. An assistant teacher is assigned to work in the infant room, toddler room, preschool room and school age room. A full-time floater is assigned to assist the assistant teachers in the coverage of these areas.
 9. Each of the four (4) classroom assistant teachers are responsible for planning age-appropriate activities which are included in the lesson plans and daily schedule. The lesson plan and daily schedule are posted in each classroom. A part-time teacher will assist in the classroom during breaks and lunch time for staff members.
 10. Since GBCCC does not have a full-service kitchen, the Center Director will purchase a variety of fruits, grains, meats, vegetables and milk for the center. The Child Adult Colorado Food Program (CACFP) guidelines are used as a model to ensure that appropriate nutrients are being provided for the children.
 11. The children are provided with a light breakfast and two snacks daily, most of which contain two or more of the food groups in the food pyramid.
 12. Diapers and wipes can be provided to children; however, due to the limited supply of these items parent(s) are encouraged to provide these supplies for their child(ren).
 13. Parents are responsible for providing lunch for children who are in the center over the lunch hour. If a child does not have lunch, food will be provided.
 14. Separate areas are maintained for children of different ages, with different types of equipment such as cribs for infants, napping mats, desks and storage cubicles filled with instructional play items for older children.
 15. A secure outdoor play area is available which includes age-appropriate play structures.
 16. Specific policies are in place regarding the health of children allowed to utilize GBCCC services.
 17. There are emergency evacuation procedures in place for GBCCC.
 18. A minimum of one staff member will be bilingual. MHM shall maintain a current business license issued by the State of Colorado, and must meet or exceed all requirements for safety, cleanliness, staff training, and ratios of staff to children. Staff ratios varies with the age of the child.
 19. MHM does not maintain Center licensing through the State of Colorado at the GBCCC because it is not required by law. GBCCC follows all other State of Colorado licensing requirements regarding the health and safety of children in care, training and education requirements of staff.
 20. General and Professional liability insurance and Sexual Abuse and Molestation insurance are required by the contract with the City and County of Denver.
 21. GCCCC will comply with all drop-in day care child care program requirements as called out in volume 7: Child Care Licensing requirements.



III. Process and Outcome Measures

A. Process Measures

1. MHM will provide developmentally appropriate care for ten (10) infants, seven (7) toddlers, ten (10) preschoolers, and ten (10) school aged children daily between 7:30a.m. and 4:00p.m. Monday thru Friday (excludes weekends, city holidays, furlough and building closure days).
2. MHM will inform and educate DHS staff/administration about the referral process to GBCCC.
3. On a weekly basis parents who leave children in the GBCCC will have the opportunity to complete client satisfaction surveys regarding the nature and quality of care received. Responses will be summarized quarterly and submitted to DHS Program Administrator.
4. GBCCC staff will track households and identify children as belonging to one of the following DHS programs through a standardized tracking mechanism (**Exhibit B-1**):
 - a. Active Colorado Works/TANF household
 - b. Eligible for Colorado Works/TANF family preservation services
5. GBCCC will compile the statistics from the standardized tracking each month and include this information in their monthly report out and invoicing documents.

B. Outcome Measure

1. Approximately 3,500 – 4,500 children will receive care at the GBCCC throughout the term of this agreement.
2. A minimum of 8,000 individual teacher/child contact hours will be provided at GBCCC throughout the term of this agreement.
3. 1200 DHS approved fliers (available in English and Spanish) will be distributed to TANF workers, specifically intake and case workers annually.
4. Satisfaction surveys (available in English and Spanish) will be completed by parent(s) of child(ren) attending GBCCC on multiple days. An average goal of 80% satisfaction will be achieved.

IV. Performance Management and Reporting

A. Performance Management

Monitoring will be performed as necessary by the program area and other designated DHS staff throughout the term of the agreement. As a subrecipient, monitoring is required per 2 CFR Part 200 Subpart D 200.331 and DHS policy 1809-506. Subrecipient monitoring includes but is not limited to the following:

1. **Program or Managerial Monitoring:** The quality of the services being provided and the effectiveness of those services addressing the needs of the program's daily operations.

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2. **Contract Monitoring:** Review and analysis of current program information to determine the extent to which contractors are achieving established contractual goals. Financial Services, in conjunction with the DHS program area and other designated DHS staff, will provide performance monitoring and reporting reviews. DHS staff will manage any performance issues and will develop interventions to resolve concerns.
3. **Compliance Monitoring:** Will ensure that the terms of the contract document are met, as well as Federal, State and City legal requirements, standards and policies to include sub recipient requirements.
4. **Financial Monitoring:** Will ensure that contracts are allocated and expended in accordance with the terms of the agreement. Contractor is required to provide all invoicing documents for the satisfaction of Financial Services. Financial Services will review the quality of the submitted invoice monthly. Financial Services will manage invoicing issues through site visits and review of invoicing procedures.

B. Reporting

The following reports shall be developed and delivered to the City as stated in this section.

Report # and Name	Description	Frequency	Reports to be sent to:
1. Monthly Report- Mile High Montessori Early Learning Centers/ Good Beginnings Child Care Center	Reports will describe the number of children served each day by age group; total hours of service per day; numbers of children turned away due to the unavailability of child care slots; numbers of unduplicated children served; children served by each category of assistance (TANF and TANF eligible – EXHIBIT B-1), numbers of flyers distributed, and other outreach techniques.	Monthly report will be submitted with the monthly invoice by the last day of the month following the month of service.	FAAD Division Director and Deputy Director And Colorado Works/TANF Program Administrator
2. Semi-annual Reports: Client Satisfaction Survey and	On a weekly basis, parents of children attending multi-day care will be surveyed regarding their	The survey is summarized quarterly.	FAAD Division Director and Deputy Director And

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Numbers Served	satisfaction with services provided. The contractor will maintain backup documentation. Questionnaires in both English and Spanish will be approved by the DHS program representative.	Survey results to be submitted by October 20, 2019, January 20, 2020, April 20, 2020, and July 20, 2020.	Colorado Works/TANF Program Administrator
3. Contract Summary Report	Report shall demonstrate all functions performed, and how services provided met the overall goals of this agreement. Other data will include total budget per line item, amount spent, and an explanation as to unspent funds, etc.	Contract End, within forty-five (45) days after Term End.	FAAD Division Director and Deputy Director And Colorado Works/TANF Program Administrator
4. Other reports as reasonably requested by the City.	As requested by the FAAD Division Director, provide data for Peak Performance division updates.	At semi-annual reporting	FAAD Division Director and Deputy Director and Colorado Works/TANF Program Administrator

V. Background Checks

Contractor shall provide background checks for all current and prospective employees of Contractor, and/or any subcontractor who has any direct contact with a child involved in any phase of an open child welfare case including, without limitation, those in the process of being placed and those who have been placed in out of home care. Each employee, prospective employee and/or subcontractor shall submit a complete set of fingerprints to the Colorado Bureau of Investigation (CBI) that were taken by a qualified law enforcement agency to obtain any criminal record held by the CBI.

A. Contractor Employees and Subcontractors

1. The person's employment is conditional upon a satisfactory criminal background check and subject to the same grounds for denial or dismissal as outlined in 26-6-104(7), C.R.S., including:
 - a. Checking records and reports; and
 - b. Individuals who have not resided in the state for two (2) years shall be required to have Federal Bureau of Investigation (FBI) fingerprint-based criminal history.



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- 2. Payment of the fee for the criminal record check is the responsibility of the Contractor or at Contractor’s option individual being checked. In either case, DHS will not reimburse any of the costs associated with background checks.

B. Volunteers and Students

- 1. If volunteers or students are used by Contractor, Contractor shall define specifically the services to be given by that individual.
- 2. Volunteers and students who are assigned to work directly with the children shall:
 - a. Be subject to background checks like those performed for employment applicants.

C. Volunteers and students shall be:

- 1. Directly supervised by Contractor’s paid and qualified staff member who shall always be present when the volunteer or student is working directly with or having direct contact with any child or children.
- 2. Oriented and trained in the culture of the agency, confidential nature of their work, and the specific job which they are to do, prior to assignment.

Provisions for employment and volunteer/student related background check inquiries will be followed as outlined in Section 7.701.32 “Use of Reports and Records of Child Abuse or Neglect for Background and Employment Inquiries”.

VI. DHS Funding Information:

Per Uniform Guidance CFR 200.331 we are clearly identifying to the subrecipient the following information:

- A. Program Name: Colorado Works/Temporary Assistance to Needy Families (TANF)
- B. Subrecipient DUNS#: 08-037-3723
- C. Name of Federal Awarding Agency: United States Department of Health and Human Services, Administration for Children and Families
- D. Period of Performance: July 1, 2019 to June 30, 2020
- E. Additional sub awards by subrecipients: Yes NO
- F. Names of subcontractors or sub awardees: N/A

VII. Budget

Invoices and reports shall be completed and submitted on or before the last day of each month following the month services were rendered 100% of the time. Contractor shall use DHS’ preferred invoice template, if requested. Invoicing supporting documents must meet DHS requirements.

Invoices shall be submitted to: DHS_Contractor_Invoices@denvergov.org or by US Mail to:

Attn: Financial Services



Mile High Montessori Early Learning Centers

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Denver Human Services
1200 Federal Boulevard
Denver, Colorado 80204

A. Contractor shall provide the identified services for the City under the support of the Denver Human Services using best practices and other methods for fostering a sense of collaboration and communication.

B. In accordance with Welfare Reform legislation, the costs allocated for efforts expended on Federal programs must be documented using a statewide cost allocation method. Denver Human Services is responsible for assuring the proper allocation of costs regarding Federal programs. Therefore, County Financial Management System (CFMS) coding is now required to be documented in the contract budget regarding expenditures and must be documented monthly on the billing invoice. Contractor shall use the DHS preferred invoice template.

CFMS Code: I851, 4195 TANF Child Care

C. Budget

Contractor Name:	Mile High Montessori Early Learning Centers d.b.a. Mile High Early Learning	
Program Name:	GOOD BEGINNINGS CHILD CARE CENTER	
Contract Number:	SOCSV-2015-22525-04	
Contract Term:	7/1/2019 – 6/30/2020	
Budget Categories	Budgeted Amount	Narrative
DIRECT COSTS		
Staffing		
Salary – Assistant Teacher – Infant Room	\$24,818	Salaries and wages will be reimbursed at cost. Denver Human Services (DHS) will not pay for bonuses, severances, or payouts of leave when an employee separates from their job.
Salary – Assistant Teacher – Toddler Room	\$24,818	Salaries and wages will be reimbursed at cost. Denver Human Services (DHS) will not pay for bonuses, severances, or payouts of leave when an employee separates from their job.



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Salary – Assistant Teacher – Preschool Room	\$24,818	Salaries and wages will be reimbursed at cost. Denver Human Services (DHS) will not pay for bonuses, severances, or payouts of leave when an employee separates from their job.
Salary – Assistant Teacher – Floater	\$20,240	Salaries and wages will be reimbursed at cost. Denver Human Services (DHS) will not pay for bonuses, severances, or payouts of leave when an employee separates from their job.
Salary-Substitute Assistant Teacher	\$12,492	Salaries and wages will be reimbursed at cost. Denver Human Services (DHS) will not pay for bonuses, severances, or payouts of leave when an employee separates from their job.
Salary-Program Director	\$37,204	Salaries and wages will be reimbursed at cost. Denver Human Services (DHS) will not pay for bonuses, severances, or payouts of leave when an employee separates from their job.
Sub-Total Salaries and Wages	\$144,390	
Fringe Benefits	\$41,873	Fringe benefits and payroll taxes (Fringe) will be reimbursed at cost or at the Federally Approved Fringe Rate. Fringe includes employer portion of the following items: payroll taxes (Social Security, Medicare, Federal unemployment, and state unemployment), cost of leave (PTO, vacation, sick, holidays), insurance (medical, dental, vision, disability, and workers comp) and pension or retirement plans.

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General Operating		
Curriculum Supplies	\$2,760	Curriculum related supplies including, but not limited to art supplies, toys, puzzles, etc. will be billed at cost.
Insurance (applicable amount of total annual exp. per MHEL Cost Allocation Plan)	\$4,513	Portion of Annual Insurance cost, billed at cost.
Business License Fee Renewal	\$94	Fee for renewing Mile High Montessori Good Beginnings Child Care Center's business license.
Food	\$4,140	Food expense will be billed at cost.
Sub-Total General Operating	\$11,507	
Total (Direct Services):	\$197,770	
Total Indirect Costs	\$19,778	To be calculated at 10% of Total Direct Costs
TOTAL BUDGET	\$217,548	

Contract Summary of Amounts:

Contract Version	Term	Previous Amount	Additional Amount	New Contract Total
Base	7/1/2015 to 6/30/2016	N/A	N/A	\$200,000
1st Amendment	7/1/2016 to 6/30/2017	\$200,000	\$200,000	\$400,000
2nd Amendment	7/1/2017 to 6/30/2018	\$400,000	\$218,000	\$618,000
3rd Amendment	7/1/2018 to 6/30/2019	\$618,000	\$217,548	\$835,548
4th Amendment	7/1/2019 to 6/30/2020	\$835,548	\$217,548	\$1,053,096

VIII. HIPAA/HITECH (Business Associate Terms)
1. GENERAL PROVISIONS AND RECITALS



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- 1.01 The parties agree that the terms used, but not otherwise defined below, shall have the same meaning given to such terms under the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 ("HIPAA"), the Health Information Technology for Economic and Clinical Health Act, Public Law 111-005 ("the HITECH Act"), and their implementing regulations at 45 CFR Parts 160 and 164 ("the HIPAA regulations") as they exist or may hereafter be amended.
- 1.02 The parties agree that a business associate relationship (as described in 45 CFR §160.103) under HIPAA, the HITECH Act, and the HIPAA regulations arises between the CONTRACTOR and the CITY to the extent that CONTRACTOR performs, or delegates to subcontractors to perform, functions or activities on behalf of CITY.
- 1.03 CITY wishes to disclose to CONTRACTOR certain information, some of which may constitute Protected Health Information ("PHI") as defined below, to be used or disclosed in the course of providing services and activities.
- 1.04 The parties intend to protect the privacy and provide for the security of PHI that may be created, received, maintained, transmitted, used, or disclosed pursuant to the Agreement in compliance with the applicable standards, implementation specifications, and requirements of HIPAA, the HITECH Act, and the HIPAA regulations as they exist or may hereafter be amended.
- 1.05 The parties understand and acknowledge that HIPAA, the HITECH Act, and the HIPAA regulations do not pre-empt any state statutes, rules, or regulations that impose more stringent requirements with respect to privacy of PHI.
- 1.06 The parties understand that the HIPAA Privacy and Security rules apply to the CONTRACTOR in the same manner as they apply to a covered entity. CONTRACTOR agrees to comply at all times with the terms of this Agreement and the applicable standards, implementation specifications, and requirements of the Privacy and the Security rules, as they exist or may hereafter be amended, with respect to PHI.

2. DEFINITIONS.

- 2.01 "Administrative Safeguards" are administrative actions, and policies and procedures, to manage the selection, development, implementation, and maintenance of security measures to protect electronic PHI and to manage the conduct of CONTRACTOR's workforce in relation to the protection of that information.
- 2.02 "Agreement" means the attached Agreement and its exhibits to which these additional terms are incorporated by reference.

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2.03 "Breach" means the acquisition, access, use, or disclosure of PHI in a manner not permitted under the HIPAA Privacy Rule which compromises the security or privacy of the PHI.

2.03.1 Breach excludes:

1. any unintentional acquisition, access, or use of PHI by a workforce member or person acting under the authority of CONTRACTOR or CITY, if such acquisition, access, or use was made in good faith and within the scope of authority and does not result in further use or disclosure in a manner not permitted under the Privacy Rule.
2. any inadvertent disclosure by a person who is authorized to access PHI to another person authorized to access PHI, or organized health care arrangement in which CITY participates, and the information received as a result of such disclosure is not further used or disclosed in a manner disallowed under the HIPAA Privacy Rule.
3. a disclosure of PHI where CONTRACTOR or CITY has a good faith belief that an unauthorized person to whom the disclosure was made would not reasonably have been able to retain such information.

2.03.2 Except as provided in paragraph (a) of this definition, an acquisition, access, use, or disclosure of PHI in a manner not permitted under the HIPAA Privacy Rule is presumed to be a breach unless CONTRACTOR demonstrates that there is a low probability that the PHI has been compromised based on a risk assessment of at least the following factors:

- a. The nature and extent of the PHI involved, including the types of identifiers and the likelihood of re-identification;
- b. The unauthorized person who used the PHI or to whom the disclosure was made;
- c. Whether the PHI was actually acquired or viewed; and
- d. The extent to which the risk to the PHI has been mitigated.

2.04 "CONTRACTOR" shall have the same meaning as in the attached Agreement, to which these Business Associate terms are incorporated by reference.

2.05 "CITY" shall have the same meaning as in the attached Agreement, to which these Business Associate terms are incorporated by reference.

2.06 "Data Aggregation" shall have the meaning given to such term under the HIPAA Privacy Rule in 45 CFR §164.501.



- 2.07 "Designated Record Set" shall have the meaning given to such term under the HIPAA Privacy Rule in 45 CFR §164.501.
- 2.08 "Disclosure" shall have the meaning given to such term under the HIPAA regulations in 45 CFR §160.103.
- 2.09 "Health Care Operations" shall have the meaning given to such term under the HIPAA Privacy Rule in 45 CFR §164.501.
- 2.10 "Immediately" where used here shall mean within 24 hours of discovery.
- 2.11 "Individual" shall have the meaning given to such term under the HIPAA Privacy Rule in 45 CFR §160.103 and shall include a person who qualifies as a personal representative in accordance with 45 CFR §164.502(g).
- 2.12 "Parties" shall mean "CONTRACTOR" and "CITY", collectively.
- 2.13 "Physical Safeguards" are physical measures, policies, and procedures to protect CONTRACTOR's electronic information systems and related buildings and equipment, from natural and environmental hazards, and unauthorized intrusion.
- 2.14 "The HIPAA Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 CFR Part 160 and Part 164, Subparts A and E.
- 2.15 "Protected Health Information" or "PHI" shall have the meaning given to such term under the HIPAA regulations at 45 CFR §160.103.
- 2.16 "Required by Law" shall have the meaning given to such term under the HIPAA Privacy Rule at 45 CFR §164.103.
- 2.17 "Secretary" shall mean the Secretary of the Department of Health and Human Services or his or her designee.
- 2.18 "Security Incident" means attempted or successful unauthorized access, use, disclosure, modification, or destruction of information or interference with system operations in an information system. "Security incident" does not include trivial incidents that occur on a daily basis, such as scans, "pings", or unsuccessful attempts to penetrate computer networks or servers maintained by CONTRACTOR.
- 2.19 "The HIPAA Security Rule" shall mean the Security Standards for the Protection of electronic PHI at 45 CFR Part 160, Part 162, and Part 164, Subparts A and C.
- 2.20 "Subcontractor" shall have the meaning given to such term under the HIPAA regulations at 45 CFR §160.103.



- 2.21 "Technical safeguards" means the technology and the policy and procedures for its use that protect electronic PHI and control access to it.
- 2.22 "Unsecured PHI" or "PHI that is unsecured" means PHI that is not rendered unusable, unreadable, or indecipherable to unauthorized individuals through the use of a technology or methodology specified by the Secretary of Health and Human Services ("HHS") in the guidance issued on the HHS Web site.
- 2.23 "Use" shall have the meaning given to such term under the HIPAA regulations at 45 CFR §160.103.

3. OBLIGATIONS AND ACTIVITIES OF CONTRACTOR AS BUSINESS ASSOCIATE.

- 3.01 CONTRACTOR agrees not to use or further disclose PHI that CITY discloses to CONTRACTOR except as permitted or required by this Agreement or by law.
- 3.02 CONTRACTOR agrees to use appropriate safeguards, as provided for in this Agreement, to prevent use or disclosure of PHI that CITY discloses to CONTRACTOR or that CONTRACTOR creates, receives, maintains, or transmits, on behalf of CITY, except as provided for by this Contract.
- 3.03 CONTRACTOR agrees to comply with the HIPAA Security Rule, at Subpart C of 45 CFR Part 164, with respect to electronic PHI that CITY discloses to CONTRACTOR or that CONTRACTOR creates, receives, maintains, or transmits, on behalf of CITY.
- 3.04 CONTRACTOR agrees to mitigate, to the extent practicable, any harmful effect of a Use or Disclosure of PHI by CONTRACTOR in violation of the requirements of this Agreement that becomes known to CONTRACTOR.
- 3.05 CONTRACTOR agrees to immediately report to CITY any Use or Disclosure of PHI not provided for by this Agreement that CONTRACTOR becomes aware of. CONTRACTOR must report Breaches of Unsecured PHI in accordance with 45 CFR §164.410.
- 3.06 CONTRACTOR agrees to ensure that any of its subcontractors that create, receive, maintain, or transmit, PHI on behalf of CONTRACTOR agree to comply with the applicable requirements of Section 164 Part C by entering into a contract or other arrangement.
- 3.07 To comply with the requirements of 45 CFR §164.524, CONTRACTOR agrees to provide access to CITY, or to an individual as directed by CITY, to PHI in a Designated Record Set within fifteen (15) calendar days of receipt of a written request by CITY.
- 3.08 CONTRACTOR agrees to make amendment(s) to PHI in a Designated Record Set that CITY directs or agrees to, pursuant to 45 CFR §164.526, at the request of CITY or an



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Individual, within thirty (30) calendar days of receipt of the request by CITY. CONTRACTOR agrees to notify CITY in writing no later than ten (10) calendar days after the amendment is completed.

- 3.09 CONTRACTOR agrees to make internal practices, books, and records, including policies and procedures, relating to the use and disclosure of PHI received from, or created or received by CONTRACTOR on behalf of CITY, available to CITY and the Secretary in a time and manner as determined by CITY, or as designated by the Secretary, for purposes of the Secretary determining CITY'S compliance with the HIPAA Privacy Rule.
- 3.10 CONTRACTOR agrees to document any Disclosures of PHI that CITY discloses to CONTRACTOR or that CONTRACTOR creates, receives, maintains, or transmits on behalf of CITY, and to make information related to such Disclosures available as would be required for CITY to respond to a request by an Individual for an accounting of Disclosures of PHI in accordance with 45 CFR §164.528.
- 3.11 CONTRACTOR agrees to provide CITY information in a time and manner to be determined by CITY in order to permit CITY to respond to a request by an Individual for an accounting of Disclosures of PHI in accordance with 45 CFR §164.528.
- 3.12 CONTRACTOR agrees that, to the extent CONTRACTOR carries out CITY's obligation(s) under the HIPAA Privacy and/or Security rules, CONTRACTOR will comply with the requirements of 45 CFR Part 164 that apply to CITY in the performance of such obligation(s).
- 3.13 CONTRACTOR shall work with CITY upon notification by CONTRACTOR to CITY of a Breach to properly determine if any Breach exclusions exist as defined below.

4. SECURITY RULE.

- 4.01 CONTRACTOR shall comply with the requirements of 45 CFR § 164.306 and establish and maintain appropriate Administrative, Physical and Technical Safeguards in accordance with 45 CFR §164.308, §164.310, §164.312, §164.314 and §164.316 with respect to electronic PHI that CITY discloses to CONTRACTOR or that CONTRACTOR creates, receives, maintains, or transmits on behalf of CITY. CONTRACTOR shall follow generally accepted system security principles and the requirements of the HIPAA Security Rule pertaining to the security of electronic PHI.
- 4.02 CONTRACTOR shall ensure that any subcontractors that create, receive, maintain, or transmit electronic PHI on behalf of CONTRACTOR agree through a contract with CONTRACTOR to the same restrictions and requirements contained here.
- 4.03 CONTRACTOR shall immediately report to CITY any Security Incident of which it becomes aware. CONTRACTOR shall report Breaches of Unsecured PHI as



described in 5. BREACH DISCOVERY AND NOTIFICATION below and as required by 45 CFR §164.410.

5. BREACH DISCOVERY AND NOTIFICATION.

5.01 Following the discovery of a Breach of Unsecured PHI, CONTRACTOR shall notify CITY of such Breach, however, both parties may agree to a delay in the notification if so advised by a law enforcement official pursuant to 45 CFR §164.412.

5.01.1 A Breach shall be treated as discovered by CONTRACTOR as of the first day on which such Breach is known to CONTRACTOR or, by exercising reasonable diligence, would have been known to CONTRACTOR.

5.01.2 CONTRACTOR shall be deemed to have knowledge of a Breach, if the Breach is known, or by exercising reasonable diligence would have been known, to any person who is an employee, officer, or other agent of CONTRACTOR, as determined by the federal common law of agency.

5.02 CONTRACTOR shall provide the notification of the Breach immediately to the CITY DHS Executive Director or other designee.

5.02.1 CONTRACTOR'S initial notification may be oral, but shall be followed by written notification within 24 hours of the oral notification.

5.03 CONTRACTOR'S notification shall include, to the extent possible:

5.03.1 The identification of each Individual whose Unsecured PHI has been, or is reasonably believed by CONTRACTOR to have been, accessed, acquired, used, or disclosed during the Breach;

5.03.2 Any other information that CITY is required to include in the notification to each Individual under 45 CFR §164.404 (c) at the time CONTRACTOR is required to notify CITY, or promptly thereafter as this information becomes available, even after the regulatory sixty (60) day period set forth in 45 CFR §164.410 (b) has elapsed, including:

- a. A brief description of what happened, including the date of the Breach and the date of the discovery of the Breach, if known;
- b. A description of the types of Unsecured PHI that were involved in the Breach (such as whether full name, social security number, date of birth, home address, account number, diagnosis, disability code, or other types of information were involved);
- c. Any steps Individuals should take to protect themselves from potential harm resulting from the Breach;

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- d. A brief description of what CONTRACTOR is doing to investigate the Breach, to mitigate harm to Individuals, and to protect against any future Breaches; and
 - e. Contact procedures for Individuals to ask questions or learn additional information, which shall include a toll-free telephone number, an e-mail address, Web site, or postal address.
- 5.04 CITY may require CONTRACTOR to provide notice to the Individual as required in 45 CFR §164.404, if at the sole discretion of the CITY, it is reasonable to do so under the circumstances.
- 5.05 In the event that CONTRACTOR is responsible for a Breach of Unsecured PHI in violation of the HIPAA Privacy Rule, CONTRACTOR shall have the burden of demonstrating that CONTRACTOR made all required notifications to CITY, and as required by the Breach notification regulations, or, in the alternative, that the acquisition, access, use, or disclosure of PHI did not constitute a Breach.
- 5.06 CONTRACTOR shall maintain documentation of all required notifications of a Breach or its risk assessment under 45 CFR §164.402 to demonstrate that a Breach did not occur.
- 5.07 CONTRACTOR shall provide to CITY all specific and pertinent information about the Breach, including the information listed above, if not yet provided, to permit CITY to meet its notification obligations under Subpart D of 45 CFR Part 164 as soon as practicable, but in no event later than fifteen (15) calendar days after CONTRACTOR's initial report of the Breach to CITY.
- 5.08 CONTRACTOR shall continue to provide all additional pertinent information about the Breach to CITY as it becomes available, in reporting increments of five (5) business days after the prior report to CITY. CONTRACTOR shall also respond in good faith to all reasonable requests for further information, or follow-up information, after report to CITY, when such request is made by CITY.
- 5.09 In addition to the provisions in the body of the Agreement, CONTRACTOR shall also bear all expense or other costs associated with the Breach and shall reimburse CITY for all expenses CITY incurs in addressing the Breach and consequences thereof, including costs of investigation, notification, remediation, documentation or other costs or expenses associated with addressing the Breach.

6. PERMITTED USES AND DISCLOSURES BY CONTRACTOR.

- 6.01 CONTRACTOR may use or further disclose PHI that CITY discloses to CONTRACTOR as necessary to perform functions, activities, or services for, or on



behalf of, CITY as specified in the Agreement, provided that such use or Disclosure would not violate the HIPAA Privacy Rule if done by CITY.

- 6.02 CONTRACTOR may use PHI that CITY discloses to CONTRACTOR, if necessary, for the proper management and administration of the Agreement.
- 6.03 CONTRACTOR may disclose PHI that CITY discloses to CONTRACTOR to carry out the legal responsibilities of CONTRACTOR, if:
 - 6.03.1 The Disclosure is required by law; or
 - 6.03.2 CONTRACTOR obtains reasonable assurances from the person or entity to whom/which the PHI is disclosed that it will be held confidentially and used or further disclosed only as required by law or for the purposes for which it was disclosed to the person or entity and the person or entity immediately notifies CONTRACTOR of any instance of which it is aware in which the confidentiality of the information has been breached.
- 6.04 CONTRACTOR may use or further disclose PHI that CITY discloses to CONTRACTOR to provide Data Aggregation services relating to the Health Care Operations of CONTRACTOR.
- 6.05 CONTRACTOR may use and disclose PHI that CITY discloses to CONTRACTOR consistent with the minimum necessary policies and procedures of CITY.

7. OBLIGATIONS OF CITY.

- 7.01 CITY shall notify CONTRACTOR of any limitation(s) in CITY'S notice of privacy practices in accordance with 45 CFR §164.520, to the extent that such limitation may affect CONTRACTOR'S Use or Disclosure of PHI.
- 7.02 CITY shall notify CONTRACTOR of any changes in, or revocation of, the permission by an Individual to use or disclose his or her PHI, to the extent that such changes may affect CONTRACTOR'S Use or Disclosure of PHI.
- 7.03 CITY shall notify CONTRACTOR of any restriction to the Use or Disclosure of PHI that CITY has agreed to in accordance with 45 CFR §164.522, to the extent that such restriction may affect CONTRACTOR'S use or disclosure of PHI.
- 7.04 CITY shall not request CONTRACTOR to use or disclose PHI in any manner that would not be permissible under the HIPAA Privacy Rule if done by CITY.

8. BUSINESS ASSOCIATE TERMINATION.

- 8.01 Upon CITY'S knowledge of a material breach or violation by CONTRACTOR of the requirements of this Contract, CITY shall:

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- 8.01.1 Provide an opportunity for CONTRACTOR to cure the material breach or end the violation within thirty (30) business days; or
- 8.01.2 Immediately terminate the Agreement, if CONTRACTOR is unwilling or unable to cure the material breach or end the violation within (30) days, provided termination of the Agreement is feasible.
- 8.02 Upon termination of the Agreement, CONTRACTOR shall either destroy or return to CITY all PHI CONTRACTOR received from CITY and any and all PHI that CONTRACTOR created, maintained, or received on behalf of CITY in conformity with the HIPAA Privacy Rule.
 - 8.02.1 This provision shall apply to all PHI that is in the possession of subcontractors or agents of CONTRACTOR.
 - 8.02.2 CONTRACTOR shall retain no copies of the PHI.
 - 8.02.3 In the event that CONTRACTOR determines that returning or destroying the PHI is not feasible, CONTRACTOR shall provide to CITY notification of the conditions that make return or destruction infeasible. Upon determination by CITY that return or destruction of PHI is infeasible, CONTRACTOR shall extend the protections of this Agreement to the PHI and limit further Uses and Disclosures of the PHI to those purposes that make the return or destruction infeasible, for as long as CONTRACTOR maintains the PHI.
- 8.03 The obligations of this Agreement shall survive the termination of the Agreement.

9 SUBSTANCE ABUSE (42 C.F.R., Part 2)

Provider will also comply with all provisions of 42 C.F.R., Part 2 relating to substance abuse treatment and records.

**Exhibit B-1
Colorado Works
Eligibility Affidavit**

Mile High Early Learning: Good Beginnings drop in childcare program is provided in partnership with Colorado Works/TANF funds. Participation requires certain broad eligibility requirements. Eligibility information collected will be used specifically and only for determining eligibility to participate in this program. It is kept strictly confidential and will not affect the level of services provided to you. Thank you for your cooperation.

Family Income:

- Less than \$75,000/year
 Greater than \$75,000/year

Family:

- # of adult (18 and over) members in household _____
of children (under age 18) _____
of biological or legally adopted children (under age 18)

I am receiving the following programs of assistance or am applying for the following programs:

- Colorado Works/TANF _____
Food Assistance _____
Medical Coverage _____
Child Care Assistance _____

County of Residence: _____

AFFIDAVIT

I, _____, do hereby declare and represent the information provided above to be TRUE and CORRECT to the best of my knowledge on this date signed below.

Signature _____

Date _____