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STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF PUBLIC HEALTH SERVICES

Jeffrey A. Meyers
Commissioner

Lisa M. Morris
Director

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March 18, 2019

His Excellency, Governor Christopher T. Sununu
and the Honorable Council
State House
Concord, New Hampshire 03301

REQUESTED ACTION

Authorize the Department of Health and Human Services, Division of Public Health, to enter into a **retroactive sole source** agreement with the University of New Hampshire, Vendor #177867-B046, 51 College Road, Room 116, Durham, NH 03824 for the Evaluation of Community Collaboration to Strengthen and Preserve Families in an amount not to exceed \$360,000 **retroactive** to January 1, 2019, upon Governor and the Executive Council approval through June 30, 2021. 100% Federal Funds.

Funds are available in the following account(s) for State Fiscal Year (SFY) 2019, and are anticipated to be available in SFY 2020 and SFY 2021, upon the availability and continued appropriation of funds in the future operating budgets, with authority to adjust amounts within the price limitation and adjust encumbrances between State Fiscal Years through the Budget Office.

**05-95-90-900010-7047 HEALTH AND SOCIAL SERVICES, DEPT OF HEALTH AND HUMAN SVS,
HHS: DIVISION OF PUBLIC HEALTH, ADMINISTRATION, COMMUNITY COLLABORATION**

Fiscal Year	Class / Account	Class Title	Job Number	Contract Amount
SFY 2019	102-500731	Contracts for Prog Svc	90070470	\$120,000
SFY 2020	102-500731	Contracts for Prog Svc	90070470	\$120,000
SFY 2021	102-500731	Contracts for Prog Svc	90070470	\$120,000
			Total	\$360,000

EXPLANATION

This request is **sole source** because the University of New Hampshire's (UNH) has specialized expertise in evaluating complex, federally-funded Family Support programs. The Department requested UNH to assist in the development of the evaluation plan for the U.S. Department of Health and Human Services, ACF, Community Collaborations to Strengthen and Preserve Families (CCSPF) application. UNH was named as a partner in the federal application because of their design of a high quality, rigorous

evaluation that includes a detailed project plan for developing methodologies, adoption of valid and reliable outcome measures, data privacy and security strategies, and project timelines.

The purpose of this retroactive request is to align the contract start date with the Administration for Children and Families (ACF) award date of January 1, 2019. Additionally, due to a requirement of the ACF award, attendance was required at Federal technical assistance meetings including a conference at Washington DC and other federal funding calls, along with specific evaluation deliverables which took place January 1-current date.

The purpose of this request is to measure the reduction of incidences of child abuse and neglect through the evaluation of CCSPF contracts in the City of Manchester and the Winnepesaukee Public Health Region. UNH will collect and analyze qualitative and quantitative data to document how:

- Child maltreatment prevention community partnerships are developed and executed;
- Systems are adapted and realigned to ensure families at risk of being referred to child protective services;
- Abuse and neglect allegations are identified and linked to prevention services;
- Information is shared across the collaborating partners; and
- Community Implementation Teams (CITs) in the City of Manchester and the Winnepesaukee Public Health Region develop data use and sharing agreements to measure progress toward prevention of child abuse and neglect.

The Contractor will implement three (3) evaluation studies for each of the two (2) locations as follows:

- Study 1: Impact of Leadership Development on intra and inter relationships across agencies
- Study 2: Agency/region specific Population-Based Analytics for Data Decision-Making Support to understand how targeted interventions were chosen and how it impacted the outcomes.
- Study 3: Region based collaboration and systems innovations for improving outcomes

Additionally, UNH will collaborate with both regions to meet the following goals:

- Prepare Project Evaluation Infrastructure including project timelines, meetings etc.
- Design Program Evaluation to include data collection and analyses plans
- Study1: Evaluate Impact of Leadership Development on Interagency Implementation through focus groups, key informant interviews and other qualitative data collection methods and analysis
- Study2: Collect and evaluate data for population health analytics to understand regional and agency specific characteristics
- Study3: Collect and evaluate data on collaboration and systems innovations for improving outcomes for each of these regions

As referenced in Exhibit A of this contract, this Agreement has the option to extend for up to two (2) additional years, contingent upon satisfactory delivery of services, available funding, agreement of the parties and approval of the Governor and Council.

This contract with UNH is not for direct services to individuals and families. However, the evaluators will be working directly with CITs in the City of Manchester and the Winnepesaukee Public

Health Region who will be serving families and children with evidence informed services to reduce the incidence of child abuse and neglect for the course of the grant period.

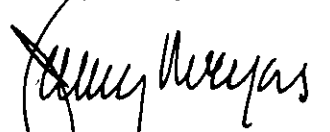
Should the Governor and Executive Council not authorize this request, two (2) high need geographical locations of New Hampshire will not have access to UNH evaluation study results that can be utilized in reducing child maltreatment, improving parent-child interactions and increasing and improving parenting skills for regulating behavior and coping mechanisms.

Area served: City of Manchester and the Winnepesaukee Public Health Region

Source of Funds: 100% Federally Funded from the Administration for Children and Families, Children's Bureau, Community Collaboration to Strengthen and Preserve Families in NH.

In the event that the Federal (or Other) Funds become no longer available, General Funds will not be requested to support this program.

Respectfully submitted,



Jeffrey A. Meyers
Commissioner

COOPERATIVE PROJECT AGREEMENT

between the

STATE OF NEW HAMPSHIRE, **Department of Health & Human Services**

and the

University of New Hampshire of the UNIVERSITY SYSTEM OF NEW HAMPSHIRE

- A. This Cooperative Project Agreement (hereinafter "Project Agreement") is entered into by the State of New Hampshire, **Department of Health & Human Services**, (hereinafter "State"), and the University System of New Hampshire, acting through **University of New Hampshire**, (hereinafter "Campus"), for the purpose of undertaking a project of mutual interest. This Cooperative Project shall be carried out under the terms and conditions of the Master Agreement for Cooperative Projects between the State of New Hampshire and the University System of New Hampshire dated November 13, 2002, except as may be modified herein.
- B. This Project Agreement and all obligations of the parties hereunder shall become effective on the date the Governor and Executive Council of the State of New Hampshire approve this Project Agreement ("Effective date") and shall end on **6/30/21**. If the provision of services by Campus precedes the Effective date, all services performed by Campus shall be performed at the sole risk of Campus and in the event that this Project Agreement does not become effective, State shall be under no obligation to pay Campus for costs incurred or services performed; however, if this Project Agreement becomes effective, all costs incurred prior to the Effective date that would otherwise be allowable shall be paid under the terms of this Project Agreement.
- C. The work to be performed under the terms of this Project Agreement is described in the proposal identified below and attached to this document as Exhibit A, the content of which is incorporated herein as a part of this Project Agreement.

Project Title: Evaluation of Community Collaborations to Strengthen and Preserve Families

- D. The Following Individuals are designated as Project Administrators. These Project Administrators shall be responsible for the business aspects of this Project Agreement and all invoices, payments, project amendments and related correspondence shall be directed to the individuals so designated.

State Project Administrator

Name: Rhonda Siegel
 Address: DHHS
 Division of Public Health Services
 Maternal and Child Health Section
 29 Hazen Drive, Concord, NH 03301
 Phone: 603-271-4516

Campus Project Administrator

Name: Susan Sosa
 Address: University of New Hampshire
 Sponsored Programs Administration
 51 College Rd. Rm 116
 Durham, NH 03824
 Phone: 603-862-4848

- E. The Following Individuals are designated as Project Directors. These Project Directors shall be responsible for the technical leadership and conduct of the project. All progress reports, completion reports and related correspondence shall be directed to the individuals so designated.

State Project Director

Name: Rhonda Siegel
 Address: DHHS
 Division of Public Health Services
 Maternal and Child Health
 29 Hazen Drive, Concord, NH 03301
 Phone: 603-271-4516

Campus Project Director

Name: Tobey Partch-Davies
 Address: University of New Hampshire
 Institute on Disability
 56 Old Suncook Road
 Concord, NH 03301
 Phone: 603-228-2084

Campus Authorized Official LSH
 Date 2/21/19

F. Total State funds in the amount of \$360,000 have been allotted and are available for payment of allowable costs incurred under this Project Agreement. State will not reimburse Campus for costs exceeding the amount specified in this paragraph.

Check if applicable

Campus will cost-share _____ % of total costs during the term of this Project Agreement.

Federal funds paid to Campus under this Project Agreement are from Grant/Contract/Cooperative Agreement No. 90CA1858-01-00 from DHHS, Administration for Children and Families under CFDA# 93.670. Federal regulations required to be passed through to Campus as part of this Project Agreement, and in accordance with the Master Agreement for Cooperative Projects between the State of New Hampshire and the University System of New Hampshire dated November 13, 2002, are attached to this document as Exhibit B, the content of which is incorporated herein as a part of this Project Agreement.

G. Check if applicable

Article(s) _____ of the Master Agreement for Cooperative Projects between the State of New Hampshire and the University System of New Hampshire dated November 13, 2002 is/are hereby amended to read:

H. State has chosen not to take possession of equipment purchased under this Project Agreement.
 State has chosen to take possession of equipment purchased under this Project Agreement and will issue instructions for the disposition of such equipment within 90 days of the Project Agreement's end-date. Any expenses incurred by Campus in carrying out State's requested disposition will be fully reimbursed by State.

This Project Agreement and the Master Agreement constitute the entire agreement between State and Campus regarding this Cooperative Project, and supersede and replace any previously existing arrangements, oral or written; all changes herein must be made by written amendment and executed for the parties by their authorized officials.

IN WITNESS WHEREOF, the University System of New Hampshire, acting through the University of New Hampshire and the State of New Hampshire, Department of Health & Human Services have executed this Project Agreement.

By An Authorized Official of:
University of New Hampshire
Name: Louise Griffin
Title: Sr. Director of Research
Signature and Date: Louise Griffin
2/21/19

By An Authorized Official of:
Department of Health & Human Services
Name: Lisa Morris
Title: Director
Signature and Date: Lisa Morris
3/13/19

By An Authorized Official of: the New
Hampshire Office of the Attorney General
Name: Wm. J. ...
Title: Senior Asst. Attorney General
Signature and Date: Wm. J. ...
3/17/2019

By An Authorized Official of: the New
Hampshire Governor & Executive Council
Name: _____
Title: _____
Signature and Date: _____

EXHIBIT A

- A. **Project Title:** Evaluation of Community Collaborations to Strengthen and Preserve Families
- B. **Project Period:** Upon Governor and Executive Council Approval through June 30, 2021. The Department reserves the right to extend contracted services for up to two (2) additional years contingent upon available funding, agreement between the parties and approval of the Governor and Executive Council.
- C. **Objectives:** To measure the reduction of incidences of Child Abuse and Neglect through the evaluation of vendor process structures for Community Collaborations to Strengthen and Preserve Families contracts in the City of Manchester and the Winnepesaukee Public Health Region.
- D. **Scope of Work:** See Exhibit A-1, Scope of Services and Exhibit C, Health Insurance Portability Act Business Associate Agreement
- E. **Deliverables Schedule:** See Exhibit A-2 , Additional Scope of Services
- F. **Budget and Invoicing Instructions:** See Exhibit B-1, Methods and Conditions Precedent to Payments and Exhibit B-2 through Exhibit B-4, Budget Sheets.

EXHIBIT B

This Project Agreement is funded under a Grant/Contract/Cooperative Agreement to State from the Federal sponsor specified in Project Agreement article F. All applicable requirements, regulations, provisions, terms and conditions of this Federal Grant/Contract/Cooperative Agreement are hereby adopted in full force and effect to the relationship between State and Campus, except that wherever such requirements, regulations, provisions and terms and conditions differ for INSTITUTIONS OF HIGHER EDUCATION, the appropriate requirements should be substituted (e.g., OMB Circulars A-21 and A-110, rather than OMB Circulars A-87 and A-102). References to Contractor or Recipient in the Federal language will be taken to mean Campus; references to the Government or Federal Awarding Agency will be taken to mean Government/Federal Awarding Agency or State or both, as appropriate.

Special Federal provisions are listed here: None or



Scope of Services

1. Provisions Applicable to All Services

- 1.1. The Contractor shall submit a detailed description of the language assistance services they will provide to persons with limited English proficiency to ensure meaningful access to their programs and/or services within ten (10) days of the contract effective date.
- 1.2. The Contractor agrees that, to the extent future legislative action by the New Hampshire General Court or federal or state court orders may have an impact on the Services described herein, the State Agency has the right to modify Service priorities and expenditure requirements under this Agreement so as to achieve compliance therewith.
- 1.3. Notwithstanding any other provision of the Contract to the contrary, no services shall continue after June 30, 2021, and the Department shall not be liable for any payments for services provided after June 30, 2021, unless and until an appropriation for these services has been received from the state legislature and funds encumbered for the SFY 2020-2021biennia.
- 1.4. In alignment with the Community Collaborations to Strengthen and Preserve Families project, CFDA number 93.670, the Contractor shall measure and evaluate the following within selected communities:
 - 1.4.1. Child maltreatment.
 - 1.4.2. Caregiver-child interactions.
 - 1.4.3. Caregiver and child skills for regulating behavior and coping adaptively
 - 1.4.4. Protective factors among recipients of services.
 - 1.4.5. Effectiveness of population-based prevention services.
 - 1.4.6. Coordination of services and referrals.
- 1.5. The Contractor shall evaluate the vendors process structures for Community Collaborations to Strengthen and Preserve Families (CCSPF) in:
 - 1.5.1. The City of Manchester
 - 1.5.2. The Winnipesaukee Public Health Region.
- 1.6. The Contractor shall ensure that all terms of the CCSPF Contracts in the regions identified above are met in accordance with the evaluation goals set forth below:
 - 1.6.1. Goal 1: Prepare Project Evaluation Infrastructure
 - 1.6.2. Goal 2: Design Program Evaluation
 - 1.6.3. Goal 3: Evaluate Impact of Leadership Development on Interagency Implementation/Study 1
 - 1.6.4. Goal 4: Develop and evaluate place-based date/Study 2



- 1.6.5. Goal 5: Evaluate collaboration and systems innovations for improving outcomes/Study 3

2. Scope of Services

- 2.1. The Contractor shall develop an evaluation plan in Year 2 to capture local performance metrics consistent with targeted prevention efforts determined through the comprehensive planning process in Year 1 and in accordance with Exhibit A-2, Additional Scope of Services, Table 1, Project Timeline.
- 2.2. The Contractor shall establish process feedback circuits in the planning phase, based on planning phase data to ensure a continuous quality improvement (CQI) process for project strategies and new inputs based on semi-annual and annual performance data of the two (2) regions identified in Section 1.4, above.
- 2.3. The Contractor shall establish pre and post project evaluation surveys to measure community and organizational team process in the following areas:
- 2.3.1. Community Outcome and Output measures
 - 2.3.2. Team input measures
- 2.4. The Contractor shall develop the evaluation structure and evaluation process in accordance with Exhibit A-2, Additional Scope of Services, Table 1, Project Timeline, which includes, but is not limited to:
- 2.4.1. Applying for Internal Review Board for the ethical study of human subjects.
 - 2.4.2. Implementing Data Sharing agreements with sites and Community Implementation Teams.
 - 2.4.3. Implementing Data Hosting
 - 2.4.4. Collecting any available and pertinent Intra-Agency Team/Community Implementation Teams (CIT) data
 - 2.4.5. Addressing Evaluation and Planning Phase Meeting Logistics
 - 2.4.6. Establishing Staffing
 - 2.4.7. Implementing Software
 - 2.4.8. Developing Website Design
 - 2.4.9. Attending Federal Kick-Off Conference and other federally required events.
 - 2.4.10. Attending national technical assistance Conferences requested by the Federal partners, as appropriate.
- 2.5. The Contractor shall implement three (3) evaluation studies for each location as indicated in Section 1.4, in collaboration with the Department, Federal partners and CIT's and in accordance with the timeframes specified in Exhibit A-1, Additional Scope of Services, Table 1, Project Timeline.

2.5.1. Study 1: Evaluation Impact of Leadership Development on Interagency

University of New Hampshire

Exhibit A-1

Contractor Initials

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- 2.5.2. Study 2: Place and Population-Based Analytics for Data Decision-Making Support.
- 2.5.3. Study 3: Place Based collaboration and systems innovations for improving outcomes
- 2.6. The Contractor shall design and support an evaluation that assists in determining whether the Department's contracted CITs are achieving the goals, objectives, and outcomes outlined in Exhibit A-2 Additional Scope of Services. The Contractor shall ensure:
- 2.6.1. The evaluation is utilized to determine if projects are positively impacting child maltreatment prevention rates through early intervention and prevention services for families.
- 2.6.2. The evaluation includes mechanisms to document:
- 2.6.2.1. The Department's progress on the implementation goals.
- 2.6.2.2. The progress of all CIT's.
- 2.6.2.3. The degree of collaboration among members of the CITs.
- 2.6.2.4. The degree of collaboration among the CITs and consumers and family members.
- 2.7. The Contractor shall submit interim evaluation reports to the Department thirty (30) days prior to the annual Federal reporting periods.
- 2.8. The Contractor shall submit a final evaluation report to the Department in each evaluation year no later than ninety (90) days of completing the project evaluation.
- 2.9. The Contractor shall develop and present proposed solutions to identified barriers for Department consideration through:
- 2.9.1. Qualitative data collection through focus groups and key informant interviews in project planning period.
- 2.9.2. Collaboration with stakeholders to develop feasible, realistic solutions for improved outcomes preventing child maltreatment
- 2.9.3. Collaboration with the Department to establish a mechanism for communicating barriers and proposed solutions in a format desired by the Department that includes, but is not limited to:
- 2.9.3.1. The identified barrier.
- 2.9.3.2. Goal(s), objective(s), and specific task(s) affected by the identified barrier.
- 2.9.3.3. Potential solutions, including resources needed to mitigate the identified barrier.
- 2.10. The Contractor shall facilitate a focus group study at the completion of Year 1 to evaluate the following:



- 2.10.1. Integrated Data Committee post planning.
- 2.10.2. Pre CIT Service Deployment.
- 2.11. The Contractor shall review and code Practice Profile documents to evaluate how CIT's applied Boundary Spanning Learning (BSL) leadership methods effect service innovations.
- 2.12. The Contractor shall conduct a follow up focus group study as referenced in Section 2.5.2. in Year three (3) to compare, identify data differences, assess any organizational or data barriers and challenges to the production of data and data dissemination to CIT's.
- 2.13. The Contractor shall facilitate at least 7 focus groups in closely accessible statewide locations for CIT teams, which includes but is not limited to:
 - 2.13.1. Digitally recording sessions.
 - 2.13.2. Transcribing the recordings.
 - 2.13.3. Analyzing the sessions via NVivo for inter-rater reliability, themes and recommendations.
- 2.14. The Contractor shall obtain Internal Review Board approval and data infrastructure compliance for all evaluation inputs and outputs on data related to the study of human subjects.
- 2.15. The Contractor shall establish and/or maintain an administrative and fiscal capacity to plan, coordinate, monitor, and evaluate multi-component initiatives to ensure progress is made toward the goals listed in Section 1.5, including but not limited to:
 - 2.15.1. Providing monthly project administration updates/summaries thirty (30) days prior to the close of the federal reporting deadline, to ensure staff oversight, the quality of services, and contract and fiscal accountability.
 - 2.15.2. Submitting monthly invoices in the form of spreadsheets that track funds expended and identify remaining funds within each of the line items/targeted initiatives.
 - 2.15.3. Maintaining an office with necessary equipment, supplies, and telecommunications capabilities to conduct all aspects of the project.
 - 2.15.4. Ensuring access to meeting facilities and technologies that support participation from all regions of the state;

3. Reporting

- 3.1. The Contractor shall disseminate a semi-annual report beginning in Year two (2), to the Department within thirty (30) days following the end of the reporting period.
- 3.2. The Contractor shall disseminate interim reports on process and outcome measures for each catchment area per Section 1.4, for each area of study as outlined in Section 2.5.



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- 3.3. The Contractor shall disseminate annual reports to the Department within thirty (30) days of end of the contract completion date each year, to be disseminated both in paper form and in electronic format.
 - 3.4. The Contractor shall ensure that any client data included in any report is de-identified and in aggregate format.

4. Deliverables

- 4.1. The Contractor shall begin implementation of Goal 3 in accordance with Exhibit A-2, Additional Scope of Services, Table 1, no later than thirty (30) days after the contract effective date.
- 4.2. The Contractor shall provide pre evaluation surveys no later than thirty (30) days after January 30, 2020.
- 4.3. The Contractor shall provide post evaluation surveys in Year 2, within thirty (30) days after the pre evaluation completion date.
- 4.4. The Contractor shall provide an annual outcome report to the Department no later than thirty (30) days of the contract completion date.



Additional Scope of Services

Table 1: Project Timeline

Project Timeline - Years 1-5									
Objective	Activities	Agency	Year	Q1	Q2	Q3	Q4	Outputs	Measure
Goal 1 Prepare Project Infrastructure									
Establish project structure for NH, Manchester, and WPHR	<ul style="list-style-type: none"> - Attend Fed meetings - Onboard staff - Convene stakeholder focus groups and KIIs - Procure CITs - Conduct ongoing meetings 	DHHS	1	X	X	X	X	<ul style="list-style-type: none"> - Project management - Comms systems - Contracts - Agendas - Provider profiles - Focus Groups and KIIs 	<ul style="list-style-type: none"> • Process/ meeting notes • Provider Profiles • Shared Definitions of Data
			2	X	X	X	X		
			3	X	X	X	X		
			4	X	X	X	X		
			5	X	X	X	X		
Goal 2 Design Program Evaluation									
Procure evaluation and prepare evaluation structure.	<ul style="list-style-type: none"> -Apply to IRB -Data Share -Data hosting -IAT/CIT data -Mtg logistics -Staffing -software -website design -Fed Kick off -National TA 	UNH and DHHS	1	X	X			<ul style="list-style-type: none"> - Protocol - Consent procedures - Data security - Calendar - Agreements - Website for data analytics 	<ul style="list-style-type: none"> • IRB Approval • Study begins
			2						
			3						
			4						
			5						
Goal 3 Evaluate Impact of Leadership Development on Interagency Implementation/Study 1									
Design BSL and QI training protocol	<ul style="list-style-type: none"> -Learning objectives -Pre/post tests -Train/coach -Logistic 	DHHS and UNH	1	X	X			-Training protocol	
			2						
			3						
			4						
			5						
Implement informed consent procedures and	<ul style="list-style-type: none"> -Consent procedures -Consent forms -Base survey pre/post 	UNH, CITs, DHHS	1					<ul style="list-style-type: none"> -#CIT Staff Trained -#Pre/Post tests -Practice Profiles 	<ul style="list-style-type: none"> -BSL skills -Model Standards -Inter-agency
			2	X	X				
			3						



DHHS Information Security Requirements

A. Definitions

The following terms may be reflected and have the described meaning in this document:

1. "Breach" means the loss of control, compromise, unauthorized disclosure, unauthorized acquisition, unauthorized access, or any similar term referring to situations where persons other than authorized users and for an other than authorized purpose have access or potential access to personally identifiable information, whether physical or electronic. With regard to Protected Health Information, "Breach" shall have the same meaning as the term "Breach" in section 164.402 of Title 45, Code of Federal Regulations.
2. "Computer Security Incident" shall have the same meaning "Computer Security Incident" in section two (2) of NIST Publication 800-61, Computer Security Incident Handling Guide, National Institute of Standards and Technology, U.S. Department of Commerce.
3. "Confidential Information" or "Confidential Data" means all confidential information disclosed by one party to the other such as all medical, health, financial, public assistance benefits and personal information including without limitation, Substance Abuse Treatment Records, Case Records, Protected Health Information and Personally Identifiable Information.

Confidential Information also includes any and all information owned or managed by the State of NH - created, received from or on behalf of the Department of Health and Human Services (DHHS) or accessed in the course of performing contracted services - of which collection, disclosure, protection, and disposition is governed by state or federal law or regulation. This information includes, but is not limited to Protected Health Information (PHI), Personal Information (PI), Personal Financial Information (PFI), Federal Tax Information (FTI), Social Security Numbers (SSN), Payment Card Industry (PCI), and or other sensitive and confidential information.

4. "End User" means any person or entity (e.g., contractor, contractor's employee, business associate, subcontractor, other downstream user, etc.) that receives DHHS data or derivative data in accordance with the terms of this Contract.
5. "HIPAA" means the Health Insurance Portability and Accountability Act of 1996 and the regulations promulgated thereunder.
6. "Incident" means an act that potentially violates an explicit or implied security policy, which includes attempts (either failed or successful) to gain unauthorized access to a system or its data, unwanted disruption or denial of service, the unauthorized use of a system for the processing or storage of data; and changes to system hardware, firmware, or software characteristics without the owner's knowledge, instruction, or consent. Incidents include the loss of data through theft or device misplacement, loss or misplacement of hardcopy documents, and misrouting of physical or electronic

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DHHS Information Security Requirements

mail, all of which may have the potential to put the data at risk of unauthorized access, use, disclosure, modification or destruction.

7. "Open Wireless Network" means any network or segment of a network that is not designated by the State of New Hampshire's Department of Information Technology or delegate as a protected network (designed, tested, and approved, by means of the State, to transmit) will be considered an open network and not adequately secure for the transmission of unencrypted PI, PFI, PHI or confidential DHHS data.
8. "Personal Information" (or "PI") means information which can be used to distinguish or trace an individual's identity, such as their name, social security number, personal information as defined in New Hampshire RSA 359-C:19, biometric records, etc., alone, or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother's maiden name, etc.
9. "Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 C.F.R. Parts 160 and 164, promulgated under HIPAA by the United States Department of Health and Human Services.
10. "Protected Health Information" (or "PHI") has the same meaning as provided in the definition of "Protected Health Information" in the HIPAA Privacy Rule at 45 C.F.R. § 160.103.
11. "Security Rule" shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 C.F.R. Part 164, Subpart C, and amendments thereto.
12. "Unsecured Protected Health Information" means Protected Health Information that is not secured by a technology standard that renders Protected Health Information unusable, unreadable, or indecipherable to unauthorized individuals and is developed or endorsed by a standards developing organization that is accredited by the American National Standards Institute.

I. RESPONSIBILITIES OF DHHS AND THE CONTRACTOR

A. Business Use and Disclosure of Confidential Information.

1. The Contractor must not use, disclose, maintain or transmit Confidential Information except as reasonably necessary as outlined under this Contract. Further, Contractor, including but not limited to all its directors, officers, employees and agents, must not use, disclose, maintain or transmit PHI in any manner that would constitute a violation of the Privacy and Security Rule.
2. The Contractor must not disclose any Confidential Information in response to a



DHHS Information Security Requirements

request for disclosure on the basis that it is required by law, in response to a subpoena, etc., without first notifying DHHS so that DHHS has an opportunity to consent or object to the disclosure.

3. If DHHS notifies the Contractor that DHHS has agreed to be bound by additional restrictions over and above those uses or disclosures or security safeguards of PHI pursuant to the Privacy and Security Rule, the Contractor must be bound by such additional restrictions and must not disclose PHI in violation of such additional restrictions and must abide by any additional security safeguards.
4. The Contractor agrees that DHHS Data or derivative there from disclosed to an End User must only be used pursuant to the terms of this Contract.
5. The Contractor agrees DHHS Data obtained under this Contract may not be used for any other purposes that are not indicated in this Contract.
6. The Contractor agrees to grant access to the data to the authorized representatives of DHHS for the purpose of inspecting to confirm compliance with the terms of this Contract.

II. METHODS OF SECURE TRANSMISSION OF DATA

1. **Application Encryption.** If End User is transmitting DHHS data containing Confidential Data between applications, the Contractor attests the applications have been evaluated by an expert knowledgeable in cyber security and that said application's encryption capabilities ensure secure transmission via the internet.
2. **Computer Disks and Portable Storage Devices.** End User may not use computer disks or portable storage devices, such as a thumb drive, as a method of transmitting DHHS data.
3. **Encrypted Email.** End User may only employ email to transmit Confidential Data if email is encrypted and being sent to and being received by email addresses of persons authorized to receive such information.
4. **Encrypted Web Site.** If End User is employing the Web to transmit Confidential Data, the secure socket layers (SSL) must be used and the web site must be secure. SSL encrypts data transmitted via a Web site.
5. **File Hosting Services, also known as File Sharing Sites.** End User may not use file hosting services, such as Dropbox or Google Cloud Storage, to transmit Confidential Data.
6. **Ground Mail Service.** End User may only transmit Confidential Data via *certified* ground mail within the continental U.S. and when sent to a named individual.
7. **Laptops and PDA.** If End User is employing portable devices to transmit Confidential Data said devices must be encrypted and password-protected.
8. **Open Wireless Networks.** End User may not transmit Confidential Data via an open



DHHS Information Security Requirements

wireless network. End User must employ a virtual private network (VPN) when remotely transmitting via an open wireless network.

9. Remote User Communication. If End User is employing remote communication to access or transmit Confidential Data, a virtual private network (VPN) must be installed on the End User's mobile device(s) or laptop from which information will be transmitted or accessed.
10. SSH File Transfer Protocol (SFTP), also known as Secure File Transfer Protocol. If End User is employing an SFTP to transmit Confidential Data, End User will structure the Folder and access privileges to prevent inappropriate disclosure of information. SFTP folders and sub-folders used for transmitting Confidential Data will be coded for 24-hour auto-deletion cycle (i.e. Confidential Data will be deleted every 24 hours).
11. Wireless Devices. If End User is transmitting Confidential Data via wireless devices, all data must be encrypted to prevent inappropriate disclosure of information.

III. RETENTION AND DISPOSITION OF IDENTIFIABLE RECORDS

The Contractor will only retain the data and any derivative of the data for the duration of this Contract. After such time, the Contractor will have 30 days to destroy the data and any derivative in whatever form it may exist, unless, otherwise required by law or permitted under this Contract. To this end, the parties must:

A. Retention

1. The Contractor agrees it will not store, transfer or process data collected in connection with the services rendered under this Contract outside of the United States. This physical location requirement shall also apply in the implementation of cloud computing, cloud service or cloud storage capabilities, and includes backup data and Disaster Recovery locations.
2. The Contractor agrees to ensure proper security monitoring capabilities are in place to detect potential security events that can impact State of NH systems and/or Department confidential information for contractor provided systems.
3. The Contractor agrees to provide security awareness and education for its End Users in support of protecting Department confidential information.
4. The Contractor agrees to retain all electronic and hard copies of Confidential Data in a secure location and identified in section IV. A.2
5. The Contractor agrees Confidential Data stored in a Cloud must be in a FedRAMP/HITECH compliant solution and comply with all applicable statutes and regulations regarding the privacy and security. All servers and devices must have currently-supported and hardened operating systems, the latest anti-viral, anti-hacker, anti-spam, anti-spyware, and anti-malware utilities. The environment, as a

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DHHS Information Security Requirements



whole, must have aggressive intrusion-detection and firewall protection.

6. The Contractor agrees to and ensures its complete cooperation with the State's Chief Information Officer in the detection of any security vulnerability of the hosting infrastructure.

B. Disposition

1. If the Contractor will maintain any Confidential Information on its systems (or its sub-contractor systems), the Contractor will maintain a documented process for securely disposing of such data upon request or contract termination; and will obtain written certification for any State of New Hampshire data destroyed by the Contractor or any subcontractors as a part of ongoing, emergency, and or disaster recovery operations. When no longer in use, electronic media containing State of New Hampshire data shall be rendered unrecoverable via a secure wipe program in accordance with industry-accepted standards for secure deletion and media sanitization, or otherwise physically destroying the media (for example, degaussing) as described in NIST Special Publication 800-88, Rev 1, Guidelines for Media Sanitization, National Institute of Standards and Technology, U. S. Department of Commerce. The Contractor will document and certify in writing at time of the data destruction, and will provide written certification to the Department upon request. The written certification will include all details necessary to demonstrate data has been properly destroyed and validated. Where applicable, regulatory and professional standards for retention requirements will be jointly evaluated by the State and Contractor prior to destruction.
2. Unless otherwise specified, within thirty (30) days of the termination of this Contract, Contractor agrees to destroy all hard copies of Confidential Data using a secure method such as shredding.
3. Unless otherwise specified, within thirty (30) days of the termination of this Contract, Contractor agrees to completely destroy all electronic Confidential Data by means of data erasure, also known as secure data wiping.

IV. PROCEDURES FOR SECURITY

- A. Contractor agrees to safeguard the DHHS Data received under this Contract, and any derivative data or files, as follows:

1. The Contractor will maintain proper security controls to protect Department confidential information collected, processed, managed, and/or stored in the delivery of contracted services.
2. The Contractor will maintain policies and procedures to protect Department confidential information throughout the information lifecycle, where applicable, (from creation, transformation, use, storage and secure destruction) regardless of the media used to store the data (i.e., tape, disk, paper, etc.).

DHHS Information Security Requirements



3. The Contractor will maintain appropriate authentication and access controls to contractor systems that collect, transmit, or store Department confidential information where applicable.
4. The Contractor will ensure proper security monitoring capabilities are in place to detect potential security events that can impact State of NH systems and/or Department confidential information for contractor provided systems.
5. The Contractor will provide regular security awareness and education for its End Users in support of protecting Department confidential information.
6. If the Contractor will be sub-contracting any core functions of the engagement supporting the services for State of New Hampshire, the Contractor will maintain a program of an internal process or processes that defines specific security expectations, and monitoring compliance to security requirements that at a minimum match those for the Contractor, including breach notification requirements.
7. The Contractor will work with the Department to sign and comply with all applicable State of New Hampshire and Department system access and authorization policies and procedures, systems access forms, and computer use agreements as part of obtaining and maintaining access to any Department system(s). Agreements will be completed and signed by the Contractor and any applicable sub-contractors prior to system access being authorized.
8. If the Department determines the Contractor is a Business Associate pursuant to 45 CFR 160.103, the Contractor will execute a HIPAA Business Associate Agreement (BAA) with the Department and is responsible for maintaining compliance with the agreement.
9. The Contractor will work with the Department at its request to complete a System Management Survey. The purpose of the survey is to enable the Department and Contractor to monitor for any changes in risks, threats, and vulnerabilities that may occur over the life of the Contractor engagement. The survey will be completed annually, or an alternate time frame at the Departments discretion with agreement by the Contractor, or the Department may request the survey be completed when the scope of the engagement between the Department and the Contractor changes.
10. The Contractor will not store, knowingly or unknowingly, any State of New Hampshire or Department data offshore or outside the boundaries of the United States unless prior express written consent is obtained from the Information Security Office leadership member within the Department.
11. Data Security Breach Liability. In the event of any security breach Contractor shall make efforts to investigate the causes of the breach, promptly take measures to prevent future breach and minimize any damage or loss resulting from the breach. The State shall recover from the Contractor all costs of response and recovery from

DHHS Information Security Requirements



the breach, including but not limited to: credit monitoring services, mailing costs and costs associated with website and telephone call center services necessary due to the breach.

12. Contractor must, comply with all applicable statutes and regulations regarding the privacy and security of Confidential Information, and must in all other respects maintain the privacy and security of PI and PHI at a level and scope that is not less than the level and scope of requirements applicable to federal agencies, including, but not limited to, provisions of the Privacy Act of 1974 (5 U.S.C. § 552a), DHHS Privacy Act Regulations (45 C.F.R. §5b), HIPAA Privacy and Security Rules (45 C.F.R. Parts 160 and 164) that govern protections for individually identifiable health information and as applicable under State law.
13. Contractor agrees to establish and maintain appropriate administrative, technical, and physical safeguards to protect the confidentiality of the Confidential Data and to prevent unauthorized use or access to it. The safeguards must provide a level and scope of security that is not less than the level and scope of security requirements established by the State of New Hampshire, Department of Information Technology. Refer to Vendor Resources/Procurement at <https://www.nh.gov/doi/vendor/index.htm> for the Department of Information Technology policies, guidelines, standards, and procurement information relating to vendors.
14. Contractor agrees to maintain a documented breach notification and incident response process. The Contractor must notify the State's Privacy Officer, Information Security Office and Program Manager of any Security Incidents and Breaches within twenty-four (24) hours of identification of a possible issue. This includes a confidential information breach, computer security incident, or suspected breach which affects or includes any State of New Hampshire systems that connect to the State of New Hampshire network.
15. Contractor must restrict access to the Confidential Data obtained under this Contract to only those authorized End Users who need such DHHS Data to perform their official duties in connection with purposes identified in this Contract.
16. The Contractor must ensure that all End Users:
 - a. comply with such safeguards as referenced in Section IV A. above, implemented to protect Confidential Information that is furnished by DHHS under this Contract from loss, theft or inadvertent disclosure.
 - b. safeguard this information at all times.
 - c. ensure that laptops and other electronic devices/media containing PHI, PI, or PFI are encrypted and password-protected.
 - d. send emails containing Confidential Information only if encrypted and being sent to and being received by email addresses of persons authorized to receive such information.

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DHHS Information Security Requirements



- e. limit disclosure of the Confidential Information to the extent permitted by law.
- f. Confidential Information received under this Contract and individually identifiable data derived from DHHS Data, must be stored in an area that is physically and technologically secure from access by unauthorized persons during duty hours as well as non-duty hours (e.g., door locks, card keys, biometric identifiers, etc.).
- g. only authorized End Users may transmit the Confidential Data, including any derivative files containing personally identifiable information, and in all cases, such data must be encrypted at all times when in transit, at rest, or when stored on portable media as required in section IV above.
- h. in all other instances Confidential Data must be maintained, used and disclosed using appropriate safeguards, as determined by a risk-based assessment of the circumstances involved.
- i. understand that their user credentials (user name and password) must not be shared with anyone. End Users will keep their credential information secure. This applies to credentials used to access the site directly or indirectly through a third party application.

Contractor is responsible for oversight and compliance of their End Users. DHHS reserves the right to conduct onsite inspections to monitor compliance with this Contract, including the privacy and security requirements provided in herein, HIPAA, and other applicable laws and Federal regulations until such time the Confidential Data is disposed of in accordance with this Contract.

V. LOSS REPORTING

The Contractor must notify the State's Privacy Officer, Information Security Office and Program Manager of any Security Incidents and Breaches within twenty-four (24) hours of identification of a possible issue.

The Contractor must further handle and report Incidents and Breaches involving PHI in accordance with the agency's documented Incident Handling and Breach Notification procedures and in accordance with 42 C.F.R. §§ 431.300 - 306. In addition to, and notwithstanding, Contractor's compliance with all applicable obligations and procedures, Contractor's procedures must also address how the Contractor will:

- 1. Identify Incidents;
- 2. Determine if personally identifiable information is involved in Incidents;
- 3. Report suspected or confirmed Incidents as required in this Exhibit or P-37;
- 4. Identify and convene a core response group to determine the risk level of Incidents and determine risk-based responses to Incidents; and
- 5. Determine whether Breach notification is required, and, if so, identify appropriate

DHHS Information Security Requirements



Breach notification methods, timing, source, and contents from among different options, and bear costs associated with the Breach notice as well as any mitigation measures.

Incidents and/or Breaches that implicate PI must be addressed and reported, as applicable, in accordance with NH RSA 359-C:20.

VI. PERSONS TO CONTACT

A. DHHS contact for Data Management or Data Exchange issues:

DHHSInformationSecurityOffice@dhhs.nh.gov

B. DHHS contacts for Privacy issues:

DHHSPrivacyOfficer@dhhs.nh.gov

C. DHHS contact for Information Security issues:

DHHSInformationSecurityOffice@dhhs.nh.gov

D. DHHS contact for Breach notifications:

DHHSInformationSecurityOffice@dhhs.nh.gov

DHHSPrivacy.Officer@dhhs.nh.gov

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Exhibit B-1

Method and Conditions Precedent to Payment

1. The State shall pay the Campus an amount not to exceed the Cooperative Project Agreement, Section F, Total State Funds, for the services provided by the Campus pursuant to Exhibit A of the Cooperative Project Agreement (CPA).
2. This Agreement is funded with funds from the DHHS, Administration for Children and Families , CFDA #93.670, Federal Award Identification Number (FAIN), 90CA1858-01-00.
3. The Contractor agrees to provide the services in Exhibit A-1, Scope of Service in compliance with funding requirements. Failure to meet the scope of services may jeopardize the funded Contractor's current and/or future funding.
4. Payment for said services shall be made monthly as follows:
 - 4.1. Payment shall be on a cost reimbursement basis for actual expenditures incurred in the fulfillment of this Agreement, and shall be in accordance with the approved line item.
 - 4.2. The Contractor will submit an invoice in a form satisfactory to the State by the twentieth working day of each month, which identifies and requests reimbursement for authorized expenses incurred in the prior month. The invoice must be completed, signed, dated and returned to the Department in order to initiate payment. The Contractor agrees to keep records of their activities related to Department programs and services.
 - 4.3. The State shall make payment to the Contractor within thirty (30) days of receipt of each invoice, subsequent to approval of the submitted invoice and if sufficient funds are available.
 - 4.4. The Campus shall keep detailed records of their activities related to DHHS-funded programs and services.
 - 4.5. In lieu of hard copies, all invoices may be assigned an electronic signature and emailed to DPHScontractbilling@dhhs.nh.gov, or invoices may be mailed to:

Financial Administrator
Department of Health and Human Services
Division of Public Health Services
29 Hazen Drive
Concord, NH 03301
 - 4.6. Payments may be withheld pending receipt of required reports or documentation as identified in CPA Exhibit A and in this Exhibit B.
5. Amendments limited to adjusting encumbrances between State Fiscal Years may be made by written agreement of both parties and may be made without obtaining approval of the Governor and Executive Council.

Exhibit B-2, Budget Sheet

New Hampshire Department of Health and Human Services

Bidder/Program Name: University of New Hampshire

Budget Request for: Evaluation Plan

Budget Period: date of O&C approval - June 30, 2019 (SFY 18)

Line Item #	Total Program Cost			Contractor Share / Match			Funded by DHHS contract share		
	Direct	Indirect	Total	Direct	Indirect	Total	Direct	Indirect	Total
1. Total Salary/Wages	\$ 44,343.00	\$ 11,529.00	\$ 55,872.00	-	-	-	\$ 44,343.00	\$ 11,529.00	\$ 55,872.00
2. Employee Benefits	\$ 12,811.00	\$ 3,331.00	\$ 16,142.00	-	-	-	\$ 12,811.00	\$ 3,331.00	\$ 16,142.00
3. Consultants	-	-	-	-	-	-	-	-	-
4. Equipment:	-	-	-	-	-	-	-	-	-
Rental	-	-	-	-	-	-	-	-	-
Repair and Maintenance	-	-	-	-	-	-	-	-	-
Purchase/Depreciation	-	-	-	-	-	-	-	-	-
5. Supplies:	-	-	-	-	-	-	-	-	-
Educational	-	-	-	-	-	-	-	-	-
Lab	-	-	-	-	-	-	-	-	-
Pharmacy	-	-	-	-	-	-	-	-	-
Medical	-	-	-	-	-	-	-	-	-
Office	\$ 2,000.00	\$ 500.00	\$ 2,500.00	-	-	-	\$ 2,000.00	\$ 500.00	\$ 2,500.00
6. Travel	\$ 1,800.00	\$ 468.00	\$ 2,268.00	-	-	-	\$ 1,800.00	\$ 468.00	\$ 2,268.00
7. Occupancy	\$ 1,500.00	-	\$ 1,500.00	-	-	-	\$ 1,500.00	-	\$ 1,500.00
8. Current Expenses:	-	-	-	-	-	-	-	-	-
Telephone	-	-	-	-	-	-	-	-	-
Printing/Copying/Postage	\$ 294.00	\$ 78.00	\$ 370.00	-	-	-	\$ 294.00	\$ 78.00	\$ 370.00
Subscriptions	-	-	-	-	-	-	-	-	-
Audit and Legal	-	-	-	-	-	-	-	-	-
Insurance	-	-	-	-	-	-	-	-	-
Board Expenses	-	-	-	-	-	-	-	-	-
9. Software	-	-	-	-	-	-	-	-	-
10. Marketing/Communications	-	-	-	-	-	-	-	-	-
11. Staff Education and Training	-	-	-	-	-	-	-	-	-
12. Subcontracts/Agreements	-	-	-	-	-	-	-	-	-
13. Other (specify if state mandatory):	-	-	-	-	-	-	-	-	-
Data Hosting	\$ 20,000.00	\$ 5,200.00	\$ 25,200.00	-	-	-	\$ 20,000.00	\$ 5,200.00	\$ 25,200.00
Data Analysis	\$ 10,000.00	\$ 2,600.00	\$ 12,600.00	-	-	-	\$ 10,000.00	\$ 2,600.00	\$ 12,600.00
Web Development	\$ 1,800.00	\$ 418.00	\$ 2,218.00	-	-	-	\$ 1,800.00	\$ 418.00	\$ 2,218.00
Software Licenses	\$ 1,200.00	\$ 312.00	\$ 1,512.00	-	-	-	\$ 1,200.00	\$ 312.00	\$ 1,512.00
TOTAL	\$ 96,548.00	\$ 34,442.00	\$ 129,990.00	\$ -	\$ -	\$ -	\$ 84,344.00	\$ 34,442.00	\$ 129,990.00

Indirect As A Percent of Direct 25.0%

Contractor Initials *LY*
Date *2/21/19*

Exhibit B-3, Budget Sheet

New Hampshire Department of Health and Human Services

Bidder/Program Name: University of New Hampshire

Budget Request for: Evaluation Plan

Budget Period: July 1, 2018 - June 30, 2020 (SFY 20)

Line Item	Total Program Cost			Contractor Share / Match			Funded by DHHS contract share		
	Direct	Indirect	Total	Direct	Indirect	Total	Direct	Indirect	Total
1. Total Salary/Wages	\$1,870.00	\$16,034.00	\$17,904.00	-	-	-	\$1,870.00	\$16,034.00	\$17,904.00
2. Employee Benefits	20,140.00	5,238.00	25,378.00	-	-	-	20,140.00	5,238.00	25,378.00
3. Consultants	-	-	-	-	-	-	-	-	-
4. Equipment	-	-	-	-	-	-	-	-	-
Rental	-	-	-	-	-	-	-	-	-
Repair and Maintenance	-	-	-	-	-	-	-	-	-
Purchase/Depreciation	-	-	-	-	-	-	-	-	-
5. Supplies	-	-	-	-	-	-	-	-	-
Educational	-	-	-	-	-	-	-	-	-
Lab	-	-	-	-	-	-	-	-	-
Pharmacy	-	-	-	-	-	-	-	-	-
Medical	-	-	-	-	-	-	-	-	-
Office	-	-	-	-	-	-	-	-	-
6. Travel	1,800.00	468.00	2,268.00	-	-	-	1,800.00	468.00	2,268.00
7. Occupancy	1,500.00	-	1,500.00	-	-	-	1,500.00	-	1,500.00
8. Current Expenses	-	-	-	-	-	-	-	-	-
Telephone	-	-	-	-	-	-	-	-	-
Printing/Copying/Postage	758.00	192.00	950.00	-	-	-	758.00	192.00	950.00
Subscriptions	-	-	-	-	-	-	-	-	-
Audit and Legal	-	-	-	-	-	-	-	-	-
Insurance	-	-	-	-	-	-	-	-	-
Board Expenses	-	-	-	-	-	-	-	-	-
9. Software	-	-	-	-	-	-	-	-	-
10. Marketing/Communications	-	-	-	-	-	-	-	-	-
11. Staff Education and Training	-	-	-	-	-	-	-	-	-
12. Subcontracts/Agreements	-	-	-	-	-	-	-	-	-
13. Other (specific outline mandatory):	-	-	-	-	-	-	-	-	-
Data Hosting	3,000.00	780.00	3,780.00	-	-	-	3,000.00	780.00	3,780.00
Data Analysis	3,000.00	780.00	3,780.00	-	-	-	3,000.00	780.00	3,780.00
Web Development	2,500.00	650.00	3,150.00	-	-	-	2,500.00	650.00	3,150.00
Software Licenses	1,200.00	312.00	1,512.00	-	-	-	1,200.00	312.00	1,512.00
TOTAL	\$4,848.00	\$4,482.00	\$9,330.00				\$4,848.00	\$4,482.00	\$9,330.00

Indirect As A Percent of Direct

25.9%

Contractor Initials LD
Date 2/21/19

Exhibit B-4, Budget Sheet

New Hampshire Department of Health and Human Services

Bidder/Program Name: University of New Hampshire

Budget Request for: Evaluation Plan

Budget Period: July 1, 2020 - June 30, 2021 (SFY 21)

Line Item	Total Program Cost			Contractor Share / Match			Funded by DHHS contract share		
	Direct	Indirect	Total	Direct	Indirect	Total	Direct	Indirect	Total
1. Total Salary/Wages	86,683.00	17,332.00	104,015.00	-	-	-	86,683.00	17,332.00	104,015.00
2. Employee Benefits	22,847.00	5,840.00	28,687.00	-	-	-	22,847.00	5,840.00	28,687.00
3. Consultants	-	-	-	-	-	-	-	-	-
4. Equipment	-	-	-	-	-	-	-	-	-
Rental	-	-	-	-	-	-	-	-	-
Repair and Maintenance	-	-	-	-	-	-	-	-	-
Purchase/Depreciation	-	-	-	-	-	-	-	-	-
5. Supplies	-	-	-	-	-	-	-	-	-
Educational	-	-	-	-	-	-	-	-	-
Lab	-	-	-	-	-	-	-	-	-
Pharmacy	-	-	-	-	-	-	-	-	-
Medical	-	-	-	-	-	-	-	-	-
Office	-	-	-	-	-	-	-	-	-
6. Travel	1,800.00	468.00	2,268.00	-	-	-	1,800.00	468.00	2,268.00
7. Occupancy	1,800.00	1,500.00	3,300.00	-	-	-	1,800.00	1,500.00	3,300.00
8. Current Expenses	-	-	-	-	-	-	-	-	-
Telephone	-	-	-	-	-	-	-	-	-
Printing/Copying/Postage	268.00	75.00	343.00	-	-	-	268.00	75.00	343.00
Receptions	-	-	-	-	-	-	-	-	-
Audit and Legal	-	-	-	-	-	-	-	-	-
Insurance	-	-	-	-	-	-	-	-	-
Board Expenses	-	-	-	-	-	-	-	-	-
9. Software	-	-	-	-	-	-	-	-	-
10. Marketing/Communications	-	-	-	-	-	-	-	-	-
11. Staff Education and Training	-	-	-	-	-	-	-	-	-
12. Subcontracts/Agreements	-	-	-	-	-	-	-	-	-
13. Other (specify details mandatory):	-	-	-	-	-	-	-	-	-
Data Hosting	1,250.00	325.00	1,575.00	-	-	-	1,250.00	325.00	1,575.00
Data Analysis	-	-	-	-	-	-	-	-	-
Web Development	-	-	-	-	-	-	-	-	-
Software Licenses	1,200.00	312.00	1,512.00	-	-	-	1,200.00	312.00	1,512.00
TOTAL	96,544.00	34,462.00	131,006.00	-	-	-	96,544.00	34,462.00	131,006.00

Indirect As A Percent of Direct 25.0%

STANDARD EXHIBIT C

The Contractor identified as "University of New Hampshire" in Section A of the General Provisions of the Agreement agrees to comply with the Health Insurance Portability and Accountability Act, Public Law 104-191 and with the Standards for Privacy and Security of Individually Identifiable Health Information, 45 CFR Parts 160 and 164 and those parts of the HITECH Act applicable to business associates. As defined herein, "Business Associate" shall mean the Contractor and subcontractors and agents of the Contractor that receive, use or have access to protected health information under this Agreement and "Covered Entity" shall mean the Department of Health and Human Services.

Project Title: Cooperative Project Agreement, Page 1, Paragraph C (Project Title)

Project Period: Cooperative Project Agreement, Page 1, Paragraph B (Effective Date)

BUSINESS ASSOCIATE AGREEMENT

(1) Definitions.

- a. "Breach" shall have the same meaning as the term "Breach" in section 164.402 of Title 45, Code of Federal Regulations.
- b. "Breach Notification Rule" shall mean the provisions of the Notification in the Case of Breach of Unsecured Protected Health Information at 45 CFR Part 164, Subpart D, and amendments thereto.
- c. "Business Associate" has the meaning given such term in section 160.103 of Title 45, Code of Federal Regulations.
- d. "Covered Entity" has the meaning given such term in section 160.103 of Title 45, Code of Federal Regulations.
- e. "Designated Record Set" shall have the same meaning as the term "designated record set" in 45 CFR Section 164.501.
- f. "Data Aggregation" shall have the same meaning as the term "data aggregation" in 45 CFR Section 164.501.
- g. "Health Care Operations" shall have the same meaning as the term "health care operations" in 45 CFR Section 164.501.
- h. "HITECH Act" means the Health Information Technology for Economic and Clinical Health Act, Title XIII, Subtitle D, Part 1 & 2 of the American Recovery and Reinvestment Act of 2009.
- i. "HIPAA" means the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 and the Standards for Privacy and Security of Individually Identifiable Health Information, 45 CFR Parts 160, 162 and 164.
- j. "Individual" shall have the same meaning as the term "individual" in 45 CFR Section 164.501 and shall include a person who qualifies as a personal representative in accordance with 45 CFR Section 164.501(g).

- k. "Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 CFR Parts 160 and 164, promulgated under HIPAA by the United States Department of Health and Human Services.
- l. "Protected Health Information" shall have the same meaning as the term "protected health information" in 45 CFR Section 164.501, limited to the information created or received by Business Associate from or on behalf of Covered Entity.
- m. "Required by Law" shall have the same meaning as the term "required by law" in 45 CFR Section 164.501.
- n. "Secretary" shall mean the Secretary of the Department of Health and Human Services or his/her designee.
- o. "Security Rule" shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 CFR Part 164, Subpart C, and amendments thereto.
- p. "Unsecured Protected Health Information" shall have the same meaning given such term in section 164.402 of Title 45, Code of Federal Regulations.
- q. Other Definitions - All terms not otherwise defined herein shall have the meaning established under 45 C.F.R. Parts 160, 162 and 164, as amended from time to time, and the HITECH Act.

(2) Use and Disclosure of Protected Health Information.

- a. Business Associate shall not use, disclose, maintain or transmit Protected Health Information (PHI) except as reasonably necessary to provide the services outlined under Exhibit A of the Agreement. Further, the Business Associate shall not, and shall ensure that its directors, officers, employees and agents, do not use, disclose, maintain or transmit PHI in any manner that would constitute a violation of the Privacy and Security Rule.
- b. Business Associate may use or disclose PHI:
 - I. For the proper management and administration of the Business Associate;
 - II. As required by law, pursuant to the terms set forth in paragraph d. below; or
 - III. For data aggregation purposes for the health care operations of Covered Entity.
- c. To the extent Business Associate is permitted under the Agreement to disclose PHI to a third party, Business Associate must obtain, prior to making any such disclosure, (i) reasonable assurances from the third party that such PHI will be held confidentially and used or further disclosed only as required by law or for the purpose for which it was disclosed to the third party; and (ii) an agreement from such third party to notify Business Associate, in accordance with 45 CFR 164.410, of any breaches of the confidentiality of the PHI, to the extent it has obtained knowledge of such breach.
- d. The Business Associate shall not, unless such disclosure is reasonably necessary to provide services under Exhibit A of the Agreement, disclose any PHI in response to a request for disclosure on the basis that it is required by law, without first notifying Covered Entity so that Covered Entity has an opportunity to object to the disclosure and to seek appropriate relief. If Covered Entity objects to such disclosure, the Business Associate shall refrain from disclosing the PHI until Covered Entity has exhausted all

remedies. If Covered Entity does not object to such disclosure within five (5) business days of Business Associate's notification, then Business Associate may choose to disclose this information or object as Business Associate deems appropriate.

- e. If the Covered Entity notifies the Business Associate that Covered Entity has agreed to be bound by additional restrictions over and above those uses or disclosures or security safeguards of PHI pursuant to the Privacy and Security Rule, the Business Associate shall be bound by such additional restrictions and shall not disclose PHI in violation of such additional restrictions and shall abide by any additional reasonable security safeguards.

(3) Obligations and Activities of Business Associate.

- a. The Business Associate shall notify the Covered Entity's Privacy Officer without unreasonable delay and in no case later than two (2) business days following the date upon which the Business Associate becomes aware of any use or disclosure of protected health information not provided for by the Agreement including breaches of unsecured protected health information and/or any security incident that may have an impact on the protected health information of the Covered Entity.
- b. The Business Associate shall immediately perform a risk assessment when it becomes aware of any of the above situations. The risk assessment shall include, but not be limited to the following information, to the extent it is known by the Business Associate:
 - The nature and extent of the protected health information involved, including the types of identifiers and the likelihood of re-identification;
 - The unauthorized person who used the protected health information or to whom the disclosure was made;
 - Whether the protected health information was actually acquired or viewed
 - The extent to which the risk to the protected health information has been mitigated.

The Business Associate shall complete the risk assessment without unreasonable delay and in no case later than two (2) business days of discovery of the breach and report the findings of the risk assessment in writing to the Covered Entity.

- c. The Business Associate shall comply with all applicable sections of the Privacy, Security, and Breach Notification Rule.
- d. Business Associate shall make available all of its internal policies and procedures, books and records relating to the use and disclosure of PHI received from, or created or received by the Business Associate on behalf of Covered Entity to the Secretary for purposes of determining Covered Entity's compliance with HIPAA and the Privacy and Security Rule.
- e. Business Associate shall require all of its business associates that receive, use or have access to PHI under the Agreement, to agree in writing to adhere to the same restrictions and conditions on the use and disclosure of PHI contained herein, including the duty to return or destroy the PHI as provided under Section (3)b and (3)k herein. The Covered Entity shall be considered a direct third party beneficiary of the Contractor's business associate agreements with Contractor's intended business associates, who will be receiving PHI pursuant to this Agreement, with rights of

- enforcement and indemnification from such business associates who shall be governed by standard provision #13 of this Agreement for the purpose of use and disclosure of protected health information.
- f. Within five (5) business days of receipt of a written request from Covered Entity, Business Associate shall make available during normal business hours at its offices all records, books, agreements, policies and procedures relating to the use and disclosure of PHI to the Covered Entity, for purposes of enabling Covered Entity to determine Business Associate's compliance with the terms of the Agreement.
 - g. Within ten (10) business days of receiving a written request from Covered Entity, Business Associate shall provide access to PHI in a Designated Record Set to the Covered Entity, or as directed by Covered Entity, to an individual in order to meet the requirements under 45 CFR Section 164.524.
 - h. Within ten (10) business days of receiving a written request from Covered Entity for an amendment of PHI or a record about an individual contained in a Designated Record Set, the Business Associate shall make such PHI available to Covered Entity for amendment and incorporate any such amendment to enable Covered Entity to fulfill its obligations under 45 CFR Section 164.526.
 - i. Business Associate shall document such disclosures of PHI and information related to such disclosures as would be required for Covered Entity to respond to a request by an individual for an accounting of disclosures of PHI in accordance with 45 CFR Section 164.528.
 - j. Within ten (10) business days of receiving a written request from Covered Entity for a request for an accounting of disclosures of PHI, Business Associate shall make available to Covered Entity such information as Covered Entity may require to fulfill its obligations to provide an accounting of disclosures with respect to PHI in accordance with 45 CFR Section 164.528.
 - k. In the event any individual requests access to, amendment of, or accounting of PHI directly from the Business Associate, the Business Associate shall within two (2) business days forward such request to Covered Entity. Covered Entity shall have the responsibility of responding to forwarded requests. However, if forwarding the individual's request to Covered Entity would cause Covered Entity or the Business Associate to violate HIPAA and the Privacy and Security Rule, the Business Associate shall instead respond to the individual's request as required by such law and notify Covered Entity of such response as soon as practicable.
 - l. Within ten (10) business days of termination of the Agreement, for any reason, the Business Associate shall return or destroy, as specified by Covered Entity, all PHI received from, or created or received by the Business Associate in connection with the Agreement, and shall not retain any copies or back-up tapes of such PHI. If return or destruction is not feasible, or the disposition of the PHI has been otherwise agreed to in the Agreement, Business Associate shall continue to extend the protections of the Agreement, to such PHI and limit further uses and disclosures of such PHI to those purposes that make the return or destruction infeasible, for so long as Business Associate maintains such PHI. If Covered Entity, in its sole discretion, requires that the Business Associate destroy any or all PHI, the Business Associate shall certify to Covered Entity that the PHI has been destroyed.

(4) **Obligations of Covered Entity**

- a. Covered Entity shall notify Business Associate of any changes or limitation(s) in its Notice of Privacy Practices provided to individuals in accordance with 45 CFR Section 164.520, to the extent that such change or limitation may affect Business Associate's use or disclosure of PHI.
- b. Covered Entity shall promptly notify Business Associate of any changes in, or revocation of permission provided to Covered Entity by individuals whose PHI may be used or disclosed by Business Associate under this Agreement, pursuant to 45 CFR Section 164.506 or 45 CFR Section 164.508.
- c. Covered entity shall promptly notify Business Associate of any restrictions on the use or disclosure of PHI that Covered Entity has agreed to in accordance with 45 CFR 164.522, to the extent that such restriction may affect Business Associate's use or disclosure of PHI.

(5) **Termination for Cause**


In addition to standard provision #10 of this Agreement the Covered Entity may immediately terminate the Agreement upon Covered Entity's knowledge of a breach by Business Associate of the Business Associate Agreement set forth herein as Exhibit I. The Covered Entity may either immediately terminate the Agreement or provide an opportunity for Business Associate to cure the alleged breach within a timeframe specified by Covered Entity. If Covered Entity determines that neither termination nor cure is feasible, Covered Entity shall report the violation to the Secretary.

(6) **Miscellaneous**

- a. **Definitions and Regulatory References.** All terms used, but not otherwise defined herein, shall have the same meaning as those terms in the Privacy and Security Rule, and the HITECH Act, as codified at 45 CFR Parts 160 and 164 and as amended from time to time. A reference in the Agreement, as amended to include this Exhibit I, to a Section in the Privacy and Security Rule means the Section as in effect or as amended.
- b. **Amendment.** Covered Entity and Business Associate agree to take such action as is necessary to amend the Agreement, from time to time as is necessary for Covered Entity to comply with the changes in the requirements of HIPAA, the Privacy and Security Rule, and applicable federal and state law.
- c. **Data Ownership.** The Business Associate acknowledges that it has no ownership rights with respect to the PHI provided by or created on behalf of Covered Entity under the Agreement.
- d. **Interpretation.** The parties agree that any ambiguity in the Agreement shall be resolved to permit Covered Entity to comply with HIPAA, the Privacy and Security Rule and the HITECH Act.
- e. **Segregation.** If any term or condition of this Exhibit I or the application thereof to any person(s) or circumstance is held invalid, such invalidity shall not affect other terms or conditions which can be given effect without the invalid term or condition; to this end the terms and conditions of this Exhibit I are declared severable.

f. Survival. Provisions in this Exhibit I regarding the use and disclosure of PHI, return or destruction of PHI, extensions of the protections of the Agreement in section 3 k, the defense and indemnification provisions of section 3 d and standard contract provision #13, shall survive the termination of the Agreement.

IN WITNESS WHEREOF, the parties hereto have duly executed this Exhibit I.

The State


Signature of Authorized Representative

LISA MORRIS

Authorized Representative

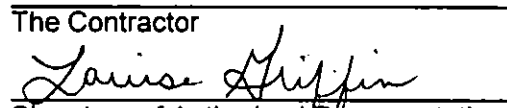
DIRECTOR, DPHS

Title of Authorized Representative

3/13/19

Date

The University of New Hampshire

The Contractor


Signature of Authorized Representative

Louise Griffin

Authorized Representative

Senior Director of Research

Title of Authorized Representative

2/21/19

Date