



STATE OF NEW HAMPSHIRE

Department of Health and Human Services

THERAPEUTIC CANNABIS REGISTRY

Division of Public Health

RFP-2024-DPHS-02-THERA (DoIT #2024-006)

RFP ISSUED:	November 21, 2023
VENDOR CONFERENCE:	November 30, 2023 (11:00 AM ET) https://nh-dhhs.zoom.us/j/98254828282
LOCATION:	https://nh-dhhs.zoom.us/j/98254828282
STATE POINT of CONTACT:	NAME: Allison Goodwin EMAIL: Allison.M.Goodwin@dhhs.nh.gov TEL: 603-271-9391
CONTRACT TYPE:	Not to Exceed
PROPOSALS DUE:	December 22, 2023 ET

STATE OF NEW HAMPSHIRE
THE DEPARTMENT OF HEALTH AND HUMAN SERVICES
RFP-2024-DPHS-02-THERA (DoIT #2024-006)
THERAPEUTIC CANNABIS REGISTRY
OVERVIEW AND SCHEDULE OF EVENTS

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SECTION 1. OVERVIEW AND SCHEDULE OF EVENTS

1.1. Introduction

The New Hampshire Department of Health and Human Services, Division of Public Health Services (Department / State) is seeking responses to this Request for Proposals (RFP) from qualified Vendors to provide a web-based therapeutic cannabis registry system which includes, but is not limited to:

- a. State user administrative web-based portal to support all functions relating to:
 - i. Registry system configuration and management;
 - ii. Application processing and record management;
 - iii. Application merchant card payment processing (including refunds) and management;
 - iv. Registry reporting (e.g., annual report data, application processing data, and export data); and
 - v. Ad hoc registry reporting functions to support State users of any skill level to build and save named queries, as well as standard Structured Query Language (SQL) queries.
- b. Public-facing patient/caregiver and medical provider web-based portals to support application submittal, including functionality for on-line payment, document upload, application status tracking, and communication tools.
- c. Standards and Application Programming Interface (APIs) associated with interoperability for any network provider to consume as needed to include Security Assertion Markup Language (SAML) single sign-on and Fast Healthcare Interoperability Resources (FHIR) or other system interoperability.
- d. Server environments, in addition to the Vendor's internal development and quality assurance (QA) testing environments, to support a testing environment for State users to conduct user acceptance testing (UAT) that actively mirrors the live production environment.
- e. Customer portal for State users to support the creation and tracking of support tickets, bug fixes, enhancement requests, and production issues.
- f. Industry accepted customer engagement and project management tools and methods consistent with Project Management Institute (PMI) standards.

The Department anticipates awarding one (1) contract for the services in this RFP.

1.2. Project Overview/Justification:

The Therapeutic Cannabis Program (TCP, program) was established in 2013, under [RSA 126-X](#)¹, which established exemptions from criminal penalties for the therapeutic use of cannabis in New Hampshire. The program is governed by administrative rules located in He-C 400 (most recently updated on 5/26/2023).

¹ <https://www.gencourt.state.nh.us/rsa/html/X/126-X/126-X-mrg.htm>

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The TCP maintains a confidential registry of qualifying patients, their caregivers, and their certifying medical providers. The program processes applications and issues cannabis registry ID cards to eligible patients and caregivers. The registry ID cards allow cardholders to purchase therapeutic cannabis from any of the state’s licensed Alternative Treatment Centers (ATCs, licensees). The ATCs are independently operated, not-for-profit entities responsible for the cultivation, production, and dispensing of therapeutic cannabis in New Hampshire. The TCP regulates the ATCs for safety, quality, and compliance with all applicable laws and regulations.

The TCP currently has the following approximate enrollment:

- Qualifying Patients: 14,000
- Designated Caregivers: 600
- Certifying Medical Providers: 1,200

Enrollment requirements:

- Patients are eligible for the program if they have been diagnosed with a qualifying medical condition by a certifying medical provider who issues a “written certification” to the patient.
- Qualifying medical conditions are established in state law.
- The types of medical providers who can certify patients are established in state law. There are no state requirements for medical providers to register with the State or be certified as a “cannabis provider.”
- A patient may designate someone to be their caregiver, who must separately register with the program and receive a registry ID card. A designated caregiver may legally purchase and possess cannabis on behalf of their patient(s).

Alternative Treatment Centers:

State law allows for a maximum of four (4) vertically integrated ATC licenses for the cultivation, production, and dispensing of therapeutic cannabis.

- Currently, three not-for-profit entities hold the licenses (one entity holds two (2) of the four (4) licenses).
- Each entity is allowed to operate two (2) dispensing locations, per license.
- There are currently three (3) cultivation/production facilities and seven (7) dispensing locations in the state.
- Each ATC has an independent agreement with a common vendor for their seed-to-sale inventory and point-of-sale software solutions.

Primary objectives:

The primary objectives for a successful therapeutic cannabis registry system include:

- Increasing the Department’s ability to adapt to evolving state policy requirements, as well as program needs and client needs.
- Ensuring that the Department follows industry best practices and approaches to systems development, interfaces, flexible data access and use, and security.

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- Increasing process improvements and cost efficiencies in program administration.
- Providing a reliable, public-facing web-based system that is accessible, secure, and user-centered.
- Providing a merchant card payment and refund service to enhance user experience, which will not require NH State to execute collection or refund, and will not transmit, process, or store PCI via the State’s network.

1.3. Schedule of Events

1.3.1. The following table provides a Schedule of Events for this RFP through contract finalization and approval. The State reserves the right to amend this Schedule at its sole discretion and at any time through a published Addendum.

SCHEDULE OF EVENTS	
EVENT	DATE & TIME (ET)
RFP Released to Vendors	November 21, 2023
Vendor Conference	November 30, 2023, 11:00 AM ET
Vendor Inquiry Period Ends/ Vendor Questions Due	December 4, 2023
Department Responses to Questions Posted	December 15, 2023
Final Date and Time for Proposal Submission	December 22, 2023, 12:00 PM EST

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PROPOSAL SUBMISSION, DEADLINE, AND LOCATION INSTRUCTIONS

SECTION 2. PROPOSAL SUBMISSION, DEADLINE, AND LOCATION INSTRUCTIONS

2.1. Proposal Submission

Proposals submitted in response to this RFP must be received no later than the time and date specified in the Schedule of Events, herein.

The Price Proposal must be labeled clearly and submitted separately from the Technical Proposal.

Electronic delivery of the Proposals must be at the Vendor's responsibility. The time of receipt must be considered when a Proposal has been officially documented by the State, in accordance with its established policies, as having been received at the location designated below. The State assumes no liability for ensuring accurate/complete Email transmission/receipt.

2.2. Electronic Proposals

Electronic Proposals must be addressed to:

TO: Allison.M.Goodwin@dhhs.nh.gov

CC: DHHS: RfX <RfX@dhhs.nh.gov>

Proposals must be clearly marked as follows:

Subject: RESPONSE TO RFP: DHHS – RFP-2024-DPHS-02-THERA (DoIT #2024-006) – THERAPEUTIC CANNABIS REGISTRY

Electronic Submissions must be submitted using the following criteria:

- a.** Searchable PDF Format
- b.** Files must be less than 25MB in size.

Exception: If files are greater than 25MB in size, the Vendor will be required to submit their proposal in parts. It is the Vendor's responsibility to ensure a complete proposal is submitted.

2.3. Number of Proposals

Vendors are permitted to submit one (1) proposal. The proposal should include a unique solution in response to this RFP.

2.4. Vendor Inquiries

All inquiries concerning this RFP, including but not limited to, requests for clarifications, questions, and any changes to the RFP, must be submitted via Email to the following RFP Point of Contact:

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Allison Goodwin

Email: Allison.M.Goodwin@dhhs.nh.gov

Inquiries must be received by the RFP Point of Contact no later than the conclusion of the Vendor Inquiry Period identified in the Schedule of Events. Inquiries received later than the conclusion of the Vendor Inquiry Period may be reviewed by the State. The State assumes no liability for ensuring accurate/complete Email transmission/receipt and is not required to acknowledge receipt.

The State intends to issue official responses to properly submitted inquiries on or before the date specified in the Schedule of Events section, herein. The State may consolidate and/or paraphrase questions for sufficiency and clarity. Oral statements, representations, clarifications, or modifications concerning the RFP are not binding upon the State. Official responses by the State will be made only in writing by the process described above.

The State will require the successful bidder to execute a Contract using the P-37 State of New Hampshire General Provisions and any attached exhibits. To the extent that a Vendor believes that exceptions to the standard form contract and exhibits will be necessary for the Vendor to enter into the Agreement, the Vendor must submit those exceptions during the Vendor Inquiry Period.

2.5. Restriction of Contact with State Employees

From the date of release of this RFP until an award is made and announced regarding the selection of a Vendor, all communication with personnel employed by or under contract with the State regarding this RFP is prohibited unless first approved by the RFP Points of Contact listed herein. State employees have been directed not to hold conferences and/or discussions concerning this RFP with any potential Contractor during the selection process, unless otherwise authorized by the RFP Point of Contact. Vendors may be disqualified for violating this restriction on communications.

2.6. Validity of Proposal

Proposals must be valid for one hundred and eighty (180) days following the deadline for submission of Proposals in the Schedule of Events, or until the Effective Date of any resulting Contract, whichever is later.

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SECTION 3. PROPOSAL ORGANIZATION, CONTENT, AND REQUIRED ITEMS

3.1. Proposal Organization

Proposals should adhere to the following outline.

- a.** Cover Page
- b.** Transmittal Form Letter
- c.** Table of Contents
- d.** Section I: Executive Summary
- e.** Section II: Glossary of Terms and Abbreviations
- f.** Section III: Responses to System Requirements and Deliverables
- g.** Section IV: Narrative Responses
- h.** Section V: Corporate Qualifications
- i.** Section VI: Qualifications of Key Vendor Staff
- j.** Section VII: Price Proposal
- k.** Section VIII: Vendor Attachments

3.1.1. Cover Page

The first page of the Vendor's Proposal must be a cover page containing the following text:

STATE OF NEW HAMPSHIRE

Department of Health and Human Services

RESPONSE TO RFP:
DHHS – RFP-2024-DPHS-02-THERA (DoIT #2024-006) – THERAPEUTIC
CANNABIS REGISTRY

The cover page must also include the Vendor's name, contact person, contact telephone number, address, city, state, zip code, fax number, and Email address.

3.1.2. Transmittal Form Letter

The Vendor must submit a signed Transmittal Form Letter with their response using the Transmittal Form Letter template provided on the following page. Any electronic alteration to the content of this Transmittal Form Letter template is prohibited. Any such changes may result in a Proposal being rejected.

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State of New Hampshire Proposal Transmittal Form Letter

Company Name: _____

Address: _____

To: Allison Goodwin

603-271-9391

Allison.M.Goodwin@dhhs.nh.gov

RE: Proposal Invitation Name: THERAPEUTIC CANNABIS REGISTRY

Proposal Number: RFP-2024-DPHS-02-THERA (DoIT #2024-006)

Proposal Due Date and Time: December 22, 2023, 12:00PM EST

To Whom It May Concern:

Company Name: _____ hereby submits an offer to provide to the State of New Hampshire the Services indicated in RFP-2024-DPHS-02-THERA (DoIT #2024-006) at the price(s) quoted in Vendor Response Section VII: Price Proposal, in complete accordance with all conditions of this RFP and all Specifications set forth in the RFP, Appendix I – P-37 General Provisions and Exhibits, and Attachment 1 - DHHS DoIT IT Requirements Workbook.

We attest to the fact that:

1. The company has reviewed and agreed to be bound by the RFP.
2. The company has not altered any of the language or other provisions contained in the RFP document.
3. The Proposal is effective for a period of 180 days from the RFP Closing Date or until the Effective Date of any resulting Contract, whichever is later.
4. The prices quoted in the Proposal were established without collusion with other vendors.
5. The Vendor has read and fully understands this RFP.

Further, in accordance with RSA 21-I:11-c, the undersigned Vendor certifies that neither the Vendor nor any of its subsidiaries, affiliates or principal officers (principal officers refers to individuals with management responsibility for the entity or association):

- a. Has, within the past 2 years, been convicted of, or pleaded guilty to, a violation of RSA 356:2, RSA 356:4, or any state or federal law or county or municipal ordinance prohibiting specified bidding practices, or involving antitrust violations, which has not been annulled;
- b. Has been prohibited, either permanently or temporarily, from participating in any public works project pursuant to RSA 638:20;
- c. Has previously provided false, deceptive, or fraudulent information on a vendor code number application form, or any other document submitted to the state of New Hampshire, which information was not corrected as of the time of the filing a bid, proposal, or quotation;
- d. Is currently debarred from performing work on any project of the federal government or the government of any state;
- e. Has, within the past 2 years, failed to cure a default on any contract with the federal government or the government of any state;

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- f. Is presently subject to any order of the department of labor, the department of employment security, or any other state department, agency, board, or commission, finding that the applicant is not in compliance with the requirements of the laws or rules that the department, agency, board, or commission is charged with implementing;
- g. Is presently subject to any sanction or penalty finally issued by the department of labor, the department of employment security, or any other state department, agency, board, or commission, which sanction or penalty has not been fully discharged or fulfilled;
- h. Is currently serving a sentence or is subject to a continuing or unfulfilled penalty for any crime or violation noted in this section;
- i. Has failed or neglected to advise the division of any conviction, plea of guilty, or finding relative to any crime or violation noted in this section, or of any debarment, within 30 days of such conviction, plea, finding, or debarment; or
- j. Has been placed on the debarred parties list described in RSA 21-I:11-c within the past year.

This document must be signed by a person who is authorized to legally obligate the responding Vendor. A signature on this document indicates that all State of New Hampshire terms and conditions are accepted by the responding Vendor and that any and all other terms and conditions submitted by the responding Vendor are null and void, even if such terms and conditions have terminology to the contrary.

Our official point of contact is: _____
Title: _____
Telephone: () - _____ Email: _____
Authorized Signature Printed: _____
Authorized Signature: _____

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3.1.3. Table of Contents

The Vendor must provide a table of contents with corresponding page numbers relating to its Proposal.

3.1.4. Section I: Executive Summary

Section I must provide an executive summary, not to exceed two (2) pages, identifying how the Vendor satisfies the goals of this RFP. The executive summary will also provide an overview of the Vendor's proposed Solution and Services highlighting those factors that they believe distinguish their Proposal.

3.1.5. Section II: Glossary of Terms and Abbreviations

Section II must provide a glossary of all terms, acronyms, and abbreviations used in the Vendor's Proposal.

3.1.6. Section III: Responses to System Requirements and Deliverables

Section III must include the response tables from the Attachment 1 – DHHS DoIT IT Requirements Workbook. The Vendor must document the ability to meet the Requirements and Deliverables of this RFP.

3.1.7. Section IV: Narrative Responses

Section IV solicits narrative responses describing the topics defined for this RFP Project. The Topics for Mandatory Responses, Appendix C, is organized into sections, which correspond to the different aspects of the scoring process of the proposal. Discussion of each topic must begin on a new page.

3.1.8. Section V: Corporate Qualifications

Section V must provide the corporate qualifications of the Vendor and any Subcontractors proposed to participate in the Project. Specific information to be provided is described in the Standards for Describing Vendor Qualifications, Appendix D.

3.1.9. Section VI: Qualifications of Key Vendor Staff

Section VI must be used to provide required information on the Vendor's Key Project Staff. Specific information to be provided is described in the Standards for Describing Vendor Qualifications, Appendix D, including, but not limited to:

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Role	Responsibilities
Executive Sponsor(s)	Executive Champion and Project Sponsor is responsible for organizational vision, alignment and ongoing program progress. Acts as lead for contracts and approvals and is the point person for organizational escalations.
Project Manager	Day-to-day project director, leader responsible for project management and coordination.
Customer Success Manager	Acts as the primary point of contact for the life of the contract. The person in this role manages all contracting issues, reporting, and communications with the State, and routes questions to the right person or team to ensure the swiftest and most helpful response.
Information Security Manager	Advises all phases of the CLRS design, development, testing, and deployment to ensure alignment with state and federal regulatory standards, as well as the Contractors' HITRUST certification.
Contract Manager	Oversees the contract documents to ensure they move efficiently from each stage of its life cycle.

3.1.10. Section VII: Price Proposal

Section VII must include the Price Proposal, which must describe the proposed cost of the Vendor Proposal based on and reflected by the inclusion of the completed tables listed in the Pricing Appendix E.

3.1.11. Section VIII: Vendor Attachments

Section VIII provides for extra materials as referenced in the Topics for Mandatory Responses, Appendix C, such as Product Literature, Ad Hoc/Federal Reporting, Interface Standards, Testing (For UAT Plan) that includes Interface testing, and Status Meetings and Reports.

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SECTION 4. EVALUATION OF PROPOSALS

4.1. Criteria for Evaluation and Scoring

Each responsive Proposal will be evaluated and considered with regard to the Solution and Services proposed, qualifications of the Vendor and any Subcontractors, experience and qualifications of proposed candidates, and cost.

If the State determines to make an award, the State will begin negotiations with a Vendor based on these evaluations. Should the State be unable to reach agreement with the high scoring Vendor during Contract discussions, the State may then undertake Contract discussions with the next high scoring Vendor and so on; or the State may reject all proposals, cancel this RFP, or solicit new Proposals under a new acquisition process.

The State will use a scoring scale of **1000 TOTAL** Points. Points will be distributed as set forth in the table below.

SCORING TABLE	
CATEGORIES	POINTS
Technical Proposal with the following potential maximum scores for each Technical Proposal category listed below:	
Proposed Software Solution	400 points
Vendor's Technical, Service and Project Management Experience	250 points
Vendor Company	50 points
Staffing Qualifications	50 points
Price Proposal Potential Maximum Points	250 points
TOTAL POTENTIAL MAXIMUM POINTS AWARDED	1000 points

The State will select a Vendor based upon the criteria and standards contained in this RFP and from applying the weighting in this section. Oral interviews, vendor presentations and demonstrations, and reference checks, to the extent they are utilized by the State, will be used to refine and finalize technical scores.

4.2. Scoring Detail

4.2.1. Scoring of the Proposed Software Solution

The Vendor's Proposed Software Solution will be allocated a maximum score of 400 Points. The main purpose of this section is to measure how well the Solution meets the business needs of the State.

Scoring is primarily measured using Vendor responses in the following sections:

- a. Appendix B, Statement of Work.

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- b. Proposal Section III: Responses to System Requirements and Deliverables (Attachment 1 – DHHS DoIT IT Requirements Workbook).
- c. Proposal Section IV: Narrative Responses (Appendix C, Topics for Mandatory Responses).
- d. Implementation and subsequent license and maintenance costs.
- e. Vendor Presentation and Demonstration.

4.2.2. Scoring of Vendor Technical, Service, and Project Management Experience

Vendor proposed Technical, Service, and Project Management Experience will be allocated a maximum score of 250 Points. In this section, the State will score the technical merits of how the Vendor will carry out the Implementation and Maintenance of the Solution. Technical details of the System including security and protection of data, proposed training, administrative procedures, how the Vendor manages its team and the Project will be critical. How compatible the Vendor’s procedures and technologies are with the State contribute to an assessment of risk both in the short and long term.

Scoring is primarily measured using vendor responses in the following sections:

- a. Appendix B, Statement of Work.
- b. Proposal Section III: Responses to System Requirements and Deliverables (Attachment 1 – DHHS DoIT IT Requirements Workbook).
- c. Proposal Section IV: Narrative Responses (Appendix C, Topics for Mandatory Responses).
- d. Proposed Work/Project Plan.
- e. Service Methodology.
- f. References.

4.2.3. Scoring of Vendor Company

Vendor Company qualifications will be allocated a maximum score of 50 points. It must be established that the Vendor Company is capable of carrying out the Project through Implementation, the Warranty Period, and the Maintenance Period.

Scoring is primarily measured using vendor responses in the following sections:

- a. Proposal Section V: Corporate Qualifications
- b. References

4.2.4. Scoring of Vendor Staffing Qualifications

Vendor’s Staff must have the training and experience to support the Vendor’s plans to implement and support the System. Vendor’s Staff qualifications will be allocated a maximum score of 50 points.

Scoring is primarily measured using vendor responses in the following sections:

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- a. Proposal Section VI: Qualifications of Key Vendor Staff
- b. References

4.2.5. Scoring the Software Solution Price

The Vendor's Software Solution price will be allocated a maximum score of 250 points. The State will consider both Implementation and subsequent four (4) year(s) License and maintenance costs as well as the costs associated in Appendix E - *Pricing*. The price information required in a Proposal is intended to provide a sound basis for comparing costs. The cost point formula described in the Price Proposal Review section will be utilized for this scoring portion.

4.2.6. Planned Evaluations

The State plans to use the following process:

- a. Initial screening to ensure that the Proposals are in compliance with submission requirements;
- b. Preliminary evaluation of the Technical Proposals;
- c. Oral interviews and Product Demonstrations (if applicable);
- d. Final Evaluation of Technical Proposals and scoring;
- e. Review of Price Proposals and scoring; and
- f. Select the highest scoring Vendor and begin contract negotiation.

4.2.7. Initial Screening

The State will conduct an initial screening step to verify Vendor compliance with the submission requirements set forth in the RFP and the minimum content set forth in the Proposal Format, Content and Required Items within this RFP. The State may waive or offer a limited opportunity to cure immaterial deviations from the RFP requirements if it is determined to be in the best interest of the State. A Proposal that fails to satisfy either submission requirements or minimum standards may be rejected without further consideration.

4.2.8. Preliminary Evaluation of the Technical Proposals

The State will establish an evaluation team. This evaluation team will review the Technical Proposals and give a preliminary score. Should a Vendor fail to achieve 400 minimum points in the preliminary scoring, it will receive no further consideration from the evaluation team and the Vendor's Price Proposal will remain unopened. Price Proposals will remain unopened during the preliminary technical review, oral interviews and product demonstrations

4.2.9. Oral Interviews and Product Demonstrations

At the State's discretion, Vendors may be invited to oral interviews and/or product demonstrations including demonstrations of any proposed automated systems or technology components. The State retains the sole discretion to determine whether to conduct oral interviews and product demonstrations, with which Vendors, the number of interviews and the length of time provided

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for the interview and product demonstration. The State may decide to conduct oral interviews and product demonstrations with less than all responsive Vendors.

The purpose of oral interviews and product demonstrations is to clarify and expound upon information provided in the written Proposals. Vendors are prohibited from altering the basic substance of their Proposals during the oral interviews and product demonstrations. The State may ask the Vendor to provide written clarifications of elements in their Technical Proposal regardless of whether it intends to conduct oral interviews.

Information gained from oral interviews and product demonstrations will be used to refine technical review scores assigned from the initial review of the Proposals. All costs associated with oral presentations/interviews shall be borne entirely by the Vendor.

4.2.10. Final Scoring of Technical Proposals

Following oral interviews, product demonstrations, reference checks (if appropriate), and/or review of written clarifications of proposals requested by the State, the evaluation team will determine a final score for each Technical Proposal.

4.2.11. Price Proposal Review and Scoring

Price Proposals will be reviewed upon completion of the final scoring of Technical Proposals. The Vendor's Price Proposal will be allocated a maximum potential score of 250 points. Vendors are advised that this is not a low bid award and that the scoring of the Price Proposal will be combined with the scoring of the Technical Proposal to determine the overall highest scoring Vendor.

The following formula will be used to assign points for Price:

$$\text{Vendor's Price Score} = (\text{Lowest Proposed Price} / \text{Vendor's Proposed Price}) \times \text{Maximum Number of Points for Price Proposal.}$$

For the purpose of use of this formula, the lowest proposed price is defined as the lowest price proposed by a Vendor who has scored above the minimum necessary for consideration on the Technical Score.

4.3. Rights of the State in Accepting and Evaluating Proposals

The State reserves the right to:

- a. Make independent investigations in evaluating Proposals;
- b. Request additional information to clarify elements of a Proposal;
- c. Waive minor or immaterial deviations from the RFP requirements, if determined to be in the best interest of the State;
- d. Omit any planned evaluation step if, in the State's view, the step is not needed;
- e. At its sole discretion, reject any and all Proposals at any time; and

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- f. Open contract discussions with the second highest scoring Vendor and so on, if the State is unable to reach an agreement on Contract terms with the higher scoring Vendor(s).

4.4. No Best and Final Offer

The Proposal should be submitted initially on the most favorable terms that the Vendor can offer. There will be no best and final offer procedure. The Vendor should be prepared to accept this RFP for incorporation into a contract resulting from this RFP. Contract negotiations may incorporate some or the entire Proposal.

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SECTION 5. TERMS AND CONDITIONS RELATED TO THE RFP PROCESS

5.1. RFP Addendum

The State reserves the right to amend this RFP at its discretion, prior to the Proposal submission deadline. In the event of an addendum to this RFP, the State, at its sole discretion, may extend the Proposal submission deadline, as it deems appropriate.

5.2. Non-Collusion

The Vendor's signature on a Proposal submitted in response to this RFP guarantees that the prices, terms and conditions, and Work quoted have been established without collusion with other Vendors and without effort to preclude the State from obtaining the best possible competitive Proposal.

5.3. Property of the State

All material received in response to this RFP shall become the property of the State and will not be returned to the Vendor. Upon Contract award, the State reserves the right to use any information presented in any Proposal.

5.4. Confidentiality of a Proposal

The substance of a Proposal must remain confidential until the Effective Date of any Contract resulting from this RFP. A Vendor's disclosure or distribution of Proposals other than to the State without the State's prior consent may be grounds for disqualification.

5.5. Public Disclosure

In general, the State is obligated to make public the information submitted in response to this RFP (including all materials submitted in connection with it, such as attachments, exhibits, addenda, and presentations), any resulting contract, and information provided during the contractual relationship. The Right-to-Know law (RSA 91-A) obligates the State to conduct an independent analysis of the confidentiality of the information submitted, regardless of whether it is marked confidential or propriety.

In addition, the Governor and Executive Council (G&C) contract approval process more specifically requires that pricing be made public and that any Contract reaching the G&C agenda for approval be posted online.

5.5.1. Disclosure of Information Submitted in Response to RFP

Information submitted in response to this RFP is subject to public disclosure under the Right-to-Know law after the award of a Contract by G&C. At the time of closing date for Proposals, the State will post the number of responses received with no further information. Pursuant to RSA 21-G:37, the State will also post the name and rank or score of each Vendor pursuant to the timeliness requirements therein. Notwithstanding the Right-to-Know law, no information

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concerning the contracting process, including, but not limited to information related to proposals, communications between the parties or contract negotiations, must be available until a contract is approved by G&C, or, if the contract does not require G&C approval, until the contract has been actually awarded. This means unsuccessful Vendors shall not be notified of the outcome until that time.

Confidential, commercial or financial information may be exempt from public disclosure under RSA 91-A:5, IV. If a Vendor believes any information submitted in response to this request for proposal should be kept confidential, the Vendor must specifically identify that information where it appears in the submission in a manner that draws attention to the designation and must mark/stamp each page of the materials that the Vendor claims must be exempt from disclosure as “CONFIDENTIAL.” Vendors must also provide a letter to the person listed as the point of contact for this RFP, identifying the specific page number and section of the information you consider to be confidential, commercial or financial and providing your rationale for each designation. Marking or designating an entire proposal, attachment or section as confidential must neither be accepted nor honored by the State. Vendors must also provide a separate copy of the full and complete document, fully redacting those portions and must note on the applicable page or pages that the redacted portion or portions are “confidential.”

Submissions which do not conform to these instructions by failing to include a redacted copy (if necessary), by failing to include a letter specifying the rationale for each redaction, by failing to designate the redactions in the manner required by these instructions, or by including redactions which are contrary to these instructions or operative law may be rejected by the State as not conforming to the requirements of the proposal.

Pricing, which includes but is not limited to, the administrative costs and other performance guarantees in Proposals or any subsequently awarded contract must be subject to public disclosure regardless of whether it is marked as confidential.

Notwithstanding a Vendor’s designations, the State is obligated under the Right-to-Know law to conduct an independent analysis of the confidentiality of the information submitted in a proposal. If a request is made to the State by any person or entity to view or receive copies of any portion of the proposal, the State must first assess what information it is obligated to release. The State will then notify you that a request has been made, indicate what, if any, information the State has assessed is confidential and will not be released, and specify the planned release date of the remaining portions of the proposal. To halt the release of information by the State, a Vendor must initiate and provide to the State, prior to the date specified in the notice, a court action in the Superior Court of the State of New Hampshire, at its sole expense, seeking to enjoin the release of the requested information.

By submitting a proposal, Vendors acknowledge and agree that:

- a.** The State may disclose any and all portions of the proposal or related materials which are not marked as confidential and/or which have not been specifically explained in the letter to the person identified as the point of contact for this RFP;

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- b. The State is not obligated to comply with a Vendor's designations regarding confidentiality and must conduct an independent analysis to assess the confidentiality of the information submitted in your proposal; and
- c. The State may, unless otherwise prohibited by court order, release the information on the date specified in the notice described above without any liability to a Vendor.

5.6. Electronic Posting of Resulting Contract

RSA 91-A obligates disclosure of contracts resulting from responses to RFPs. As such, the Secretary of State provides to the public any document submitted to G&C for approval, and posts those documents, including the contract, on its website. Further, RSA 9-F:1 requires that contracts stemming from RFPs be posted online. By submitting a proposal, Vendors acknowledge and agree that, in accordance with the above mentioned statutes and policies, (and regardless of whether any specific request is made to view any document relating to this RFP), any contract resulting from this RFP that is submitted to G&C for approval will be made accessible to the public online via the State's website.

5.7. Non-Commitment

Notwithstanding any other provision of this RFP, this RFP does not commit the State to award a Contract. The State reserves the right, at its sole discretion, to reject any and all Proposals, or any portions thereof, at any time; to cancel this RFP; and to solicit new Proposals under a new acquisition process.

5.8. Proposal Preparation Cost

By submitting a Proposal, a Vendor agrees that in no event must the State be either responsible for or held liable for any costs incurred by a Vendor in the preparation of or in connection with the Proposal, or for work performed prior to the Effective Date of a resulting Contract.

5.9. Ethical Requirements

From the time this RFP is published until a contract is awarded, no bidder must offer or give, directly or indirectly, any gift, expense reimbursement, or honorarium, as defined by RSA 15-B, to any elected official, public official, public employee, constitutional official, or family member of any such official or employee who will or has selected, evaluated, or awarded an RFP, or similar submission. Any bidder that violates RSA 21-G:38 must be subject to prosecution for an offense under RSA 640:2. Any bidder who has been convicted of an offense based on conduct in violation of this section, which has not been annulled, or who is subject to a pending criminal charge for such an offense, must be disqualified from bidding on the RFP, or similar request for submission and every such bidder must be disqualified from bidding on any RFP or similar request for submission issued by any State agency. A bidder that was disqualified under this section because of a pending criminal charge which is subsequently dismissed, results in an acquittal, or is annulled, may notify the Department of Administrative Services (DAS), which must note that information on the list maintained on the State's internal intranet system, except in the case of annulment, the information, must be deleted from the list.

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5.10. Debarment

Vendors who are ineligible to bid on proposals, bids or quotes issued by the Department of Administrative Services, Division of Procurement and Support Services pursuant to the provisions of RSA 21-I:11-c must not be considered eligible for an award under this proposal.

5.11. Challenges on Form or Process of the RFP

A bidder questioning the State's identification of the selected Vendor may request that the State review its selection process. Such request must be made in writing and be received by the Agency within 5 (five) business days after the rank or score is posted on the State website. The request must specify all points on which the bidder believes the State erred in its process and must contain such argument in support of its position as the bidder seeks to present. In response, the issuing State must review the process it followed for evaluating responses and, within 5 (five) business days of receiving the request for review, issue a written response either affirming its initial selection of a Vendor or canceling the bid. In its request for review, a bidder must not submit, and the State must not accept nor consider, any substantive information that was not included by the bidder in its original bid response. No hearing must be held in conjunction with a review. The outcome of the State's review must not be subject to appeal.

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SECTION 6 - CONTRACT TERMS AND AWARD

SECTION 6. CONTRACT TERMS AND AWARD

6.1. Non-Exclusive Contract

Any resulting Contract from this RFP will be a Non-Exclusive Contract. The State reserves the right, at its discretion, to retain other contractors to provide any of the Services or Deliverables identified under this procurement or make an award by item, part or portion of an item, group of items, or total Proposal.

6.2. Award

Any resulting Contract is contingent upon approval of the Contract by Governor and Executive Council of the State of New Hampshire and upon continued appropriation of funding for the Contract.

6.3. Anticipated Contract Term

The Vendor must be fully prepared to commence work after full execution of the Contract by the parties, and the receipt of required governmental approvals, including, but not limited to, Governor and Executive Council of the State of New Hampshire approval (“Effective Date”).

The initial four (4) year contract will begin on the Effective Date. The Contract Term may be extended up to four (4) years (“Extended Contract Term”) at the sole option of the State, subject to the parties prior written agreement on terms and applicable fees for each extended Contract Term, contingent upon satisfactory Vendor performance, continued funding and Governor and Executive Council approval.

The potential Vendor’s software solution must prioritize implementation by January 1, 2025.

6.4. Standard Contract Terms

The State will require the successful bidder to execute a Not to Exceed Contract. The P-37 State of New Hampshire General Provisions and Exhibits, identified in Appendix I will form the basis of any Contract resulting from this RFP.

To the extent that a Vendor believes that exceptions to the standard form Contract and exhibits will be necessary for the Vendor to enter into the Agreement, the Vendor should note those issues during the Vendor Inquiry Period. The State will review requested exceptions and accept, reject or note that it is open to negotiation of the proposed exception at its sole discretion. If the State accepts a Vendor’s exception the State will, at the conclusion of the inquiry period, provide notice to all potential Vendors of the exceptions which have been accepted and indicate that exception is available to all potential Vendors. Any exceptions to the standard form contract that are not raised during the Vendor Inquiry Period may not be considered. **In no event is a Vendor to submit its own standard contract terms and conditions as a replacement for the State’s terms in response to this solicitation.**

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6.4.1. Contract Negotiations and Unsuccessful Bidder Notice

If a Vendor is selected, the State will notify the selected Vendor in writing of their selection and the State's desire to enter into contract discussions. Until the State successfully completes discussions with the selected Vendor, all submitted Proposals remain eligible for selection by the State. In the event contract discussions are unsuccessful with the selected Vendor, the evaluation team may recommend another Vendor. The Department will not contact Vendor(s) that are not initially selected to enter into contract negotiations.

6.5. Related Documents Required

The selected Vendor will be required to submit the following documents prior to Contract approval:

- a. Certificate of Good Standing obtained by the Secretary of State of New Hampshire.
- b. Certificate of Authority/Vote - The Certificate of Authority/Vote authorizes, by position, a representative(s) of your corporation to enter into an Agreement or amendment with the State of New Hampshire.
- c. Certificate of Insurance - Certificate of Insurance evidencing coverage as required under the Contract.
- d. Workers' Compensation coverage must comply with State of NH RSA 281-A.

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APPENDIX A - VENDOR CONFERENCE REQUIREMENTS

APPENDIX A: VENDOR CONFERENCE REQUIREMENTS

1. A Non-Mandatory/Optional Virtual Vendor Conference, via NH DHHS Zoom, will be held on the date and at the time identified in the Schedule of Events.
2. All Vendors who intend to submit Proposals are encouraged to attend the virtual Vendor Conference. Conference attendees must pre-register by the date identified in the Schedule of Events. To register for the Vendor Conference Zoom Meeting, click on [Vendor Conference Registration](#).
3. Vendors will have an opportunity to ask questions about the RFP and the State will make a reasonable attempt to answer questions it deems appropriate. Questions may include, without limitation, a request for clarification of the RFP; a request for changes to the RFP; suggestions or changes to the RFP that could improve the RFP competition or lower the offered price; and to review any applicable Documentation.
4. Vendors are encouraged to email inquiries at least forty-eight (48) hours prior to the Vendor Conference. No responses will be given prior to the Vendor Conference. Oral answers will not be binding on the State. The State's final response to Vendor inquiries and any requested changes to terms and conditions raised during the Vendor Inquiry Period will be posted to the State's Website by the date specified as the final State responses to Vendor inquiries as specified in the Schedule of Events. Vendors are responsible for any costs associated with attending the Vendor Conference.

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APPENDIX B – STATEMENT OF WORK

APPENDIX B: STATEMENT OF WORK

1. SCOPE OF WORK

1.1. Vendor Responsibilities

- 1.1.1. The selected Vendor must provide design, development, implementation, and maintenance of the solution and must provide support services.
- 1.1.2. The selected Vendor must possess the professional and technical staff sufficient in number to deliver the project timely and to provide support services, and the staff will have sufficient skills and experience to perform the services assigned to them.
- 1.1.3. The selected Vendor must provide industry accepted customer engagement and project management methods and tools (consistent with PMI standards), supported directly by individuals with relevant project management credentials and experience, providing regular status reports. The selected Vendor must utilize State standard tools (e.g, SmartSheet PM, Microsoft Teams Meetings).
- 1.1.4. All of the services to be furnished by the selected Vendor must meet the professional standards and quality that prevail among information technology professionals in the same discipline and of similar knowledge and skill engaged in related work throughout New Hampshire under the same or similar circumstances.
- 1.1.5. During the term of the Agreement, the selected Vendor must maintain all licenses, permits, qualifications, insurance, and approvals of whatever nature that is legally required to perform the services.

1.2. Vendor Requirements

- 1.2.1. The selected Vendor must provide a State user portal to support the creation and tracking of support tickets, bug fixes, enhancement requests, and production issues (e.g. jira, github, etc.).
- 1.2.2. The selected Vendor must provide sufficient environments for system design, testing, and production, including but not limited to a testing environment, which is separate and distinct from the selected Vendor's development and QA environments, for State users to conduct user acceptance testing, and which actively mirrors the live production environment.
- 1.2.3. The selected Vendor must provide digital user training and user manuals to the State.
- 1.2.4. The selected Vendor must provide the State with electronic notification of planned and unplanned changes and updated digital user training and user manuals prior to implementation of changes.
- 1.2.5. The selected Vendor must provide up-to-date data dictionary and cross-reference tables.

1.3. Project Monitoring

The selected Vendor must perform ongoing project monitoring activities and must review and validate issues, deficiencies, and risks identified with the project. Project monitoring activities must include:

- 1.3.1. Providing personnel, processes, approaches, and tools to perform project and support services for the project.
- 1.3.2. Assessing and reporting overall project performance, extrapolating likely future project progress and success, and identifying any possible impediments to successful project

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- completion.
- 1.3.3. Examining all project artifacts and documents to evaluate the effectiveness of the project management controls, procedures, and methodology.
 - 1.3.4. Performing a detailed review of project deliverables for accuracy, completeness, and adherence to contractual and functional requirements.
 - 1.3.5. Performing a detailed review of the system documentation (Requirements, Design, Training, Test, and Management Plans, etc.) for accuracy and completeness.
 - 1.3.6. Performing a detailed review of the software architecture for feasibility, consistency, and adherence to industry standards.
 - 1.3.7. Reviewing the process for tracking of business and technical requirements to their source and reviewing the process established during the design phase for requirements traceability throughout the subsequent development, test, implementation, and operations and maintenance phases; reviewing the traceability of system requirements to design, code, test, and training.
 - 1.3.8. Assessing the effectiveness of project communication.
 - 1.3.9. Developing performance metrics that facilitate the tracking of progress/completion of project tasks and milestones.
 - 1.3.10. Reviewing all project cost and expenditure documentation and making recommendations to the State for the efficient use of funds, including project cost savings where feasible and practicable.
 - 1.3.11. Validating identified risks and issues and proposed response(s) and assessing impact to the project progress or success.
 - 1.3.12. Reviewing statements-of-work, solicitations, and contracts to verify the alignment between requirements and solicited or contracted terms.
 - 1.3.13. Ensuring project teams follow required standards, including, but not limited to, administrative rules, New Hampshire statutes, and federal requirements.
 - 1.3.14. Assessing the project's Configuration Management (CM) function/organization by reviewing CM reports and making recommendations regarding appropriate processes and tools to manage system changes.
 - 1.3.15. Consulting with all stakeholders and assessing user involvement and buy-in regarding system functionality and the system's ability to meet State needs.
 - 1.3.16. Developing performance metrics which allow tracking of project completion against established milestones.
 - 1.3.17. Assessing and recommending improvement, as needed, to ensure software testing is being performed adequately through review of test plans or other documentation and through direct observation of testing where appropriate, including participation in and coordination of peer reviews.
 - 1.3.18. Reviewing system hardware and software configuration and reporting on any compatibility and obsolescence issues.

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1.4. Records Management

- 1.4.1. The selected Vendor must maintain the project monitoring documents necessary to manage and support the project (e.g., life-cycle management documents, status reports, risk analysis, change order requests, user guide manuals, etc.), as well as recommendations documents, to be available during project meetings and upon request, and must, upon request, be supplied to the State at the conclusion of the project.

1.5. Meetings, Presentations, and Reports

- 1.5.1. The selected Vendor must attend and participate in all project meetings and events, and must provide updates and summary presentations of all report content.
- 1.5.2. The selected Vendor must provide presentations for stakeholders or government leaders when requested by the State.

1.6. Administrative Responsibilities

The selected Vendor must:

- 1.6.1. Designate a contract manager to oversee the Agreement associated with this project.
- 1.6.2. Designate a project manager to oversee the project, serve as the point of contact for the State, communicate with and provide information to the State as required.
- 1.6.3. Perform all activities identified herein and provide all deliverables in the manner and timeframes described in the associated Agreement to the State's satisfaction.
- 1.6.4. Provide all administrative needs to support the project effort, including but not limited to travel, office services, equipment (e.g., personal computers, software, fax machines, copiers), and any other special equipment or supplies for use by the selected Vendor staff), unless other arrangements are made with the State.
- 1.6.5. Submit invoices in a manner prescribed by the Agreement.
- 1.6.6. Submit timesheets, if required by the State, in a manner prescribed by the State.
- 1.6.7. Provide a schedule and other project information/artifacts to the State for incorporation into project documentation.
- 1.6.8. Schedule requests for information and meetings so as to minimize the impact on State staff, project stakeholders, and the project team.
- 1.6.9. Respond to inquiries or requests from the State within specified timeframes.
- 1.6.10. Produce all documentation using the document, spreadsheet, and diagram standards specified by the State.
- 1.6.11. Provide final copies of all deliverables, reports, and other artifacts (as specified) in electronic format for archive purposes.
- 1.6.12. Provide sufficient contact telephone numbers, for use during normal business hours, and e-mail addresses to facilitate communication. For the purposes of this project, normal business hours are defined as Monday through Friday, 8:30am to 5:00pm, Eastern Standard Time (EST), excluding State of New Hampshire observed holidays.

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2. HELPDESK SUPPORT

- 2.1. The selected Vendor must provide unlimited access, via phone or email, to the Vendor’s technical support staff for State staff and State users of the system between the hours of 8:30am to 5:00pm, Eastern Standard Time (EST), Monday through Friday, excluding State of New Hampshire observed holidays.
- 2.2. The selected Vendor must provide a State user portal to support the creation and tracking of support tickets, bug fixes, enhancement requests, and production issues (e.g., JIRA, GITHUB, etc.).
- 2.3. The selected Vendor must provide Help Desk support for Public Users of the system during the hours of Monday through Friday, 8:30am to 5:00pm Eastern Standard Time, excluding State of New Hampshire observed holidays.
 - 2.3.1. The selected Vendor must accept and manage requests for technical assistance from Public Users regarding password resets, website or solution issues. The selected Vendor will make readily available e-mail and call-in support contact information. Vendor must propose its Service Level Agreement (SLA) timeframes.
 - 2.3.2. The selected Vendor must respond within two (2) hours of the initial query.

3. REPORTING

- 3.1. The selected Vendor must:
 - 3.1.1. Map State report needs to the reports available within the solution.
 - 3.1.2. Document a report inventory of the State system output needs.
 - 3.1.3. Work with the State to identify, develop, and unit test custom reports per written and agreed upon specifications.
 - 3.1.4. Perform standard branding updates for the State’s subscribed solution reports, which must include the Department’s logo and contact information.
 - 3.1.5. Prepare and validate the standard report(s) for the group of records with the State.
- 3.2. The selected Vendor’s solution must:
 - 3.2.1. Produce reports to meet State regulatory and oversight requirements, to identify patterns of provider certification of patients, and for analysis and research to inform future policy, educational, and clinical decisions.
 - 3.2.2. Produce reports on current and historical (date-filtered) registrant data, including but not limited to:
 - 3.2.2.1. Number of patients, including by age, location (town/city and county), medical condition, patient type, number of caregivers, and demographics;
 - 3.2.2.2. Number of caregivers, including by age, location (town/city and county), number of patients, and demographics; and
 - 3.2.2.3. Number of providers, by location (town/city, county, state, and county), practice, provider type, provider specialty, and number of patients.
 - 3.2.3. Produce reports on current and historical (date-filtered) application processing data relative to required application processing timeframes, for both individual applications and total overall applications.

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- 3.2.3.1. Data shall be collected and reported on all applications received and cards issued by submission type (electronic/paper), by patient type and caregiver, by initial/renewal category, by complete/incomplete status, by incomplete reason, and by compliance/non-compliance with required timeframes and degree thereof.
- 3.2.3.2. Application processing data reports shall include but not be limited to:
- Applications received
 - Complete applications: approval
 - Complete applications: approval over 15 days
 - Complete applications: received
 - Incomplete applications: incomplete notice sent
 - Incomplete applications: incomplete notice sent over 10 days
 - Incomplete applications: received
 - Incomplete applications: approval
 - Incomplete applications: approval over 15 days
 - Cards issued
 - Incomplete applications: total processing time
 - Approved applications
 - Closed applications
 - Incomplete reasons
 - Renewals
 - Pending applications
- 3.2.4. Provide an application processing reports dashboard.
- 3.2.5. Provide ad hoc reporting tools built into the State user interface and usable by State users of any skill level (i.e., knowledge of SQL should not be required).
- 3.2.6. Allow for the ability to save custom reports for reproducibility.
- 3.2.7. Produce a payment received report, to include both on-line and manually entered credit/debit card payment and manually entered check/money order/cash payments sent via mail.
- 3.2.8. Produce a registry ID card duration/extension report, to assist with financial revenue projections.
- 3.2.9. Allow all reports to be exportable to Excel, PDF, and CSV, including descriptive information like title, explanation, and date range.

4. DATA LOCATION

- 4.1. The selected Vendor must provide its Services to the State and its end users solely from data centers within the contiguous United States. All storage, processing, administration, and transmission of Confidential Data and State Data shall be restricted to information technology systems within the contiguous United States. The Contractor must not allow its End Users, as defined in Exhibit I,

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Attachment 2 - Exhibit D: *DHHS Information Security Requirements*, to store Confidential Data or State Data on portable devices, including personal computers, unless prior written exception is provided by the Department of Health and Human Service's Information Security Office.

4.2. Privacy Impact Assessment (PIA)

4.2.1. Upon request, the selected Vendor must allow and assist the State in conducting a Privacy Impact Assessment (PIA) of its system(s)/application(s)/web portal(s)/website(s) or State system(s)/application(s)/web portal(s)/website(s) hosted by the Contractor if Personally Identifiable Information (PII) is collected, used, accessed, shared, or stored. To conduct the PIA the Contractor must provide the State access to applicable systems and documentation sufficient to allow the State to assess, at minimum, the following:

4.2.1.1. How PII is gathered and stored;

4.2.1.2. Who will have access to PII;

4.2.1.3. How PII will be used in the system;

4.2.1.4. How individual consent will be achieved and revoked; and

4.2.1.5. Privacy practices.

4.2.2. The State may conduct follow-up PIAs in the event there are either significant process changes or new technologies impacting the collection, processing or storage of PII.

5. BACKGROUND CHECKS

5.1. The selected Vendor must conduct criminal background checks, at its own expense, and not utilize any End Users, to fulfill the obligations of the Contract who have been convicted of any crime of dishonesty, including but not limited to criminal fraud, or otherwise convicted of any felony or misdemeanor offense for which incarceration for up to 1 year is an authorized penalty. Contractor agrees it will initiate a criminal background check re-investigation of all employees, volunteers, interns, and subcontractors assigned to this Contract every five (5) years. The five (5) year period will be based on the date of the last Criminal Background Check conducted by the Contractor.

5.2. The selected Vendor must promote and maintain an awareness of the importance of securing the State's information among the Contractor's End Users. Contractor's End Users shall not be permitted to handle, access, view, store or discuss Confidential Data until an attestation is received by the Contractor that all Contractor End Users associated with fulfilling the obligations of this Contract are, based on criteria provided herein are, eligible to participate in work associated with this Contract.

5.3. The State may, at its sole expense, conduct reference and screening of the Contractor Project Manager and the Contractor Key Project Staff.

6. BUSINESS REQUIREMENTS AND TECHNICAL REQUIREMENTS

6.1. Business and Technical Requirements

6.1.1. The selected Vendor must meet the Business and Technical Requirements associated with this project which are identified in Attachment 1 – DHHS DoIT IT Requirements Workbook.

6.2. Deliverables, Activities, and Milestones

6.2.1. The selected Vendor must meet the Deliverables, Activities, and Milestones identified in Attachment 1 – DHHS DoIT IT Requirements Workbook.

6.3. Interoperability – Migration, Data Transfer, and Export

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6.3.1. The selected Vendor must:

- 6.3.1.1. Maintain the capacity to provide periodic, at minimum daily, and planned data extractions for use by the State of New Hampshire’s Enterprise Business Intelligence (EBI) platform (i.e., the State’s data warehouse).
- 6.3.1.2. Provide a data dictionary and solution to integrate the Vendor and State platforms to be done in a mutually agreeable manner and timeframe.
- 6.3.1.3. Provide a complete data extract and export to the State, at a frequency and format to be agreed upon by the State and the Vendor.
- 6.3.1.4. Provide documentation for standards and Application Programming Interface (API’s) associated with Interoperability for any network provider participant to consume as needed to include Security Assertion Markup Language (SAML) single sign-on and FHIR or other system interoperability.

6.3.2. The selected Vendor’s solution must:

- 6.3.2.1. Allow for current and historical State registry data to be migrated to and integrated with the new system.
- 6.3.2.2. Be able to import all current registry ID numbers for current and expired patients and caregivers for exclusion when generating and assigning new registry ID numbers so that there is no duplication, no need to reissue registry ID cards with new registry ID numbers to all current patients and caregivers, and to support consistency with existing ATC dispensing records.
- 6.3.2.3. Be able to perform integration of the State’s active patient/caregiver dataset between the registry system and licensees’ (ATCs) local sales database, hosted by potentially different vendors (e.g., API; data export, sFTP transfer, and upload).

6.4. Application Types / Functionalities

The selected Vendor’s solution:

6.4.1. Must provide the following primary application types:

- Patient application (requires payment);
- Caregiver application;
- Medical provider registration (once provider registration is approved by the State, then the provider may submit written certifications); and
- Written certification (this application type is limited to approved providers only).

6.4.2. Must provide the following combined application type functionality. These application types combine the patient and caregiver applications for these populations, both of which have different relational linkage requirements.

- Minor patient application (requires payment); and
- Guardianship patient application (requires payment).

6.4.3. Must allow for different relational linkages between users, as follows:

6.4.3.1. Standard relational linkages:

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- One patient can be linked to one caregiver.
- One patient can be linked to one provider.
- One caregiver can be linked to up to five (5) patients, with an exception to allow for up to nine (9) patients if certain requirements are met.
- One provider can be linked to an unlimited number of patients.

6.4.3.2. Exception relational linkages:

- Minor patients and guardianship patients can be linked to up to 2 caregivers.
- Minor patients must be linked to two (2) providers.

6.4.4. Must allow for changes to relational linkages within a registration cycle and between different registration cycles, and retain a record of the previous linkage.

6.4.5. Must provide other application types/functions, which are limited by user category, including:

- Extend Written Certification (provider).
- Withdraw Written Certification (provider).
- Designate/Remove Caregiver (patient/caregiver).
- Request Card Deactivation (patient/caregiver).
- Change Information (e.g., address, name, caregiver/patient, deceased) (patient/caregiver/provider).
- Lost Card Replacement (patient/caregiver) (requires payment).

6.4.6. Must automate the processing of all the above application types and functions and allow State users to manually process all of the above application types and functions.

6.5. Public User System Functionality

6.5.1. The selected Vendor's solution must include a web portal to allow patients, caregivers, and providers (i.e., Public User categories) to register with the system, complete and submit applications, check on the status of applications, upload documents, make electronic payment, and receive communications from the State. The selected Vendor must work with the Department to identify the process flow during the design phase of the project.

6.5.2. The selected Vendor's solution must provide user registration functionality for system account creation and use, including but not limited to:

- a. User name, email address, password generation/recovery/reset, with selected Vendor to provide Public User registration support;
- b. Allowing patients, caregivers, and providers to and access their existing records;
- c. Allowing for State user review and approval of provider registrants; and
- d. Preventing the creation of duplicate user accounts.

6.5.3. The selected Vendor's solution must allow electronic payment, as referenced in Appendix G Merchant Card Services, by credit and debit card, including entry of merchant card information by public users.

6.5.4. The selected Vendor's solution must not require the State to complete any PCI compliance requirements.

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- 6.5.5. Required payment functions of the selected Vendor’s solution must include: transfer of funds to the State, record of confirmation of payment, report generation of payments received for other DHHS business units.
 - 6.5.5.1. The solution must allow for manual check and money order, and cash payment processing, with integrated payments received reporting with merchant card payments.
- 6.5.6. The selected Vendor’s solution must deliver the following Public User functionality and services:
 - 6.5.6.1. Use terms and conditions acknowledgment prior to Public User accessing the system;
 - 6.5.6.2. State and system privacy notice link on the use terms and conditions page in a easily seen location on the page, as well as available in various location as identified during the design process;
 - 6.5.6.3. Submit user-specific application types (key in data and upload documents, pdf and image files at minimum);
 - 6.5.6.4. Renew application, to be auto-populated with certain existing information;
 - 6.5.6.5. Electronic credit card or debit card payment and refunds;
 - 6.5.6.6. View application status, regardless of paper or electronic submission;
 - 6.5.6.7. View associated users (e.g., patient can see their caregiver’s information/status; caregiver can see their patient’s information/status, with limitation(s): caregiver should not see patient’s medical condition);
 - 6.5.6.8. Display information/requirements/instructions (e.g., links, hover text, pop-ups, notice explaining federal cannabis law);
 - 6.5.6.9. Save/retrieve application prior to submittal to State;
 - 6.5.6.10. Submittal to State allowed only if all “required” fields are complete;
 - 6.5.6.11. Allow for multiple addresses to be entered, and for State users to select from addresses for correspondence purposes;
 - 6.5.6.12. View all State-generated communications;
 - 6.5.6.13. Receive system-generated email notice of communications generated by State users; and
 - 6.5.6.14. Download/print submitted applications.
- 6.5.7. The selected Vendor’s solution must deliver the following provider-specific user functionality and services:
 - 6.5.7.1. Use terms and conditions acknowledgment prior to provider user accessing the system.
 - 6.5.7.2. State and system privacy notice link on the use terms and conditions page in a easily seen location on the page.
 - 6.5.7.3. Submit provider-specific application types: Written Certification (initial/renewal), Extend Written Certification, Withdraw Written Certification.

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- 6.5.7.4. View associated users: information and application status for current and historical patients.
- 6.5.7.5. Receive email notice of pending patient expirations.
- 6.5.7.6. Allow for multiple addresses and state license numbers to be entered, and for State users to select from addresses and licenses for processing and correspondence purposes.
- 6.5.7.7. Allow cannabis dispensing instructions to be entered and be available to licensees (ATCs), either through API or data export and sFTP transfer.
- 6.5.7.8. Allow providers who are registered system users to receive notice that their patient has identified them as their certifying provider and allow the provider to submit a Written Certification or otherwise approve them. However, provider names must not be viewable to patients (no drop-down list), so system would need to validate the match.

6.6. Application Processing / Record Management / State User System Functionality

The selected Vendor's solution must:

- 6.6.1. Provide application processing and record management customizable dashboard(s) and functionalities, which may be separate or integrated.
- 6.6.2. Provide application processing dashboard with different application processing status categories, with associated dates for all status changes, including but not limited to: Registered, Received, Pending (including reasons: applicant, administrative), Incomplete, Complete, Approved, Issued, Closed (including closed reasons: patient request, deceased, certification withdrawn, insufficient funds, revoked, denied, incomplete more than 6 months, administrative). The dashboard must:
 - a. Allow multiple instances of status categories;
 - b. Allow State user manual overwrite of certain status dates, with audit history functionality;
 - c. Allow additional dates to be established and tracked, including: Effective Date and Expiration Date. All dates are to be used in application processing reporting; and
 - d. Provide via dashboard sort and filter features for State users to organize applications within various categories.
- 6.6.3. Provide State users with at least the following application processing and record management action functions: Change Status/Approve/Deny/Revoke/Deactivate (including deactivate reasons: patient request, deceased, certification withdrawn, insufficient funds, revoked, administrative)/Reactivate/Extend.
- 6.6.4. Provide application processing timeline dashboard for managing workflow, based on deadlines consistent with required timeframes, and generate notifications about pending required actions, including:
 - a. 10 days from received date to send notice of incomplete application;
 - b. 15 days from received date to approve/deny application;
 - c. 5 days from approved date to issue registry ID card;
 - d. 60 days from notice of incomplete application date to send second notice of incomplete application; and
 - e. 180 days from notice of incomplete application date to send notice of closed application.

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- 6.6.5. Provide document upload functionality (at minimum, pdf and image files) and/or support the ability to upload scanned documents directly into the application or record.
- 6.6.6. Provide functionality for free-form comment entry, relative to applications and records, to enter case notes. Each case note will be a separate note, including the case note author and date of entry, will be searchable, will be editable with audit history functionality, and will be printable.
- 6.6.7. Provide robust database search functionality, including global search and search within record and application types.
- 6.6.8. Allow State users to have a streamlined view and process steps for processing paper applications.
- 6.6.9. Allow State users to override incomplete applications (change status and approve application) even when all required fields are not complete.
- 6.6.10. Allow functionality for variable-duration registry ID cards, and card extensions, including:
 - 6.6.10.1. Default duration of 12 months;
 - 6.6.10.2. Ability to establish a shorter duration or a longer duration up to 36 months; and
 - 6.6.10.3. Ability to extend a card that was issued or extended for a duration of less than 36 months, up to a maximum of 36 months from the initial effective date of the current card.
- 6.6.11. Provide functionality for:
 - 6.6.11.1. Batch processing;
 - 6.6.11.2. Batch printing (cards and correspondence);
 - 6.6.11.3. Application type assignments and restrictions based on State user role; and
 - 6.6.11.4. Supervisory review/approval.
- 6.6.12. Generate and assign registry ID numbers for each patient and caregiver. Requirements include:
 - 6.6.12.1. Must be unique to each patient and caregiver, must be random, and must contain 10 “digits” (with at least 4 letters and 4 numbers);
 - 6.6.12.2. Patients and caregivers must be able to maintain use of their assigned registry ID number, regardless of renewal or lapse in registration;
 - 6.6.12.3. New registry ID number shall not be issued for renewal applications; and
 - 6.6.12.4. Registry ID numbers for current and expired patients and caregivers shall be migrated from the existing system and shall not be reassigned.

6.7. Communications/Correspondence

The selected Vendor’s solution must provide robust communications functionalities that include, but are not limited to:

- 6.7.1. State users must be able to generate various communications to registered system users and others who are not registered system users, to include:
 - 6.7.1.1. Communications to registered system users shall include (1) system-generated

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email notice with instructions to log in to the system to view communications and (2) printable letters to be mailed; and

- 6.7.1.2. Communications to those who are not registered system users shall include printable letters to be mailed.
- 6.7.2. Provide State user communications/correspondence template creation, customization, and maintenance functionality, including fields populated from application/record data, and design functionality that supports address formatting for mail-merging, mailing labels, and use of window envelopes.
- 6.7.3. Maintain a complete record of all communications/correspondence, with option to reprint/resend.
- 6.7.4. Provide auto-generated communications functionality, which should differentiate between registered system users (email correspondence) and others who are not registered system users (printed letter correspondence).
- 6.7.5. Support the following auto-generated correspondence types based on established timeframes: renewal notice 90 days prior to expiration, second notice of incomplete application 30 days after initial notice of incomplete application was sent, and notice of closed application 6 months after initial notice of incomplete application was sent.
- 6.7.6. Support other correspondence types: approval, denial, revocation, voided card, change to associated registrants, provider notice of approval/denial, incomplete notices.
- 6.7.7. Provide for notice of incomplete application correspondence to be auto-filled with incomplete reasons (i.e., missing information based on blank required fields or state user checkboxes).
- 6.7.8. Support mass mailing functionality based on selected user category (e.g., correspondence to all medical providers).

6.8. Additional System Requirements

The Vendor's solution must:

- 6.8.1. Provide data validation functionality to prevent missing data or data type errors.
- 6.8.2. Provide audit history functionality, which tracks any changes to information in the registry system. The audit information should include name, date and time of change, and details of change.
- 6.8.3. Provide functionality to print registry ID cards for patients and caregivers from the system, which must be compatible with the State's existing card printers: Magicard 600 and 300, print dual-sided, and have customizable design functionality. Other requirements include:
 - 6.8.3.1. The registry ID cards must contain at least the following data fields extracted from the system: name, address, date of birth, patient/caregiver designation, registry ID number, issue date, effective date, expiration date, as well as other information as determined by the state (e.g., permission to cultivate, state contact information).
- 6.8.4. Prevent, or provide mitigation functionality for, duplicate applications.
- 6.8.5. Provide functionality so that a description of missing application information will be auto-filled on an incomplete notice correspondence, based on a State user checklist.
- 6.8.6. Store, per record, all correspondences and documents and generate a printable/exportable historic list of all correspondences, including original send date.

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- 6.8.7. Be sized accordingly to accommodate retaining record correspondences and documents, as well as, quick retrieval of said letters and documents.
- 6.8.8. Allow for unlimited medical conditions and symptoms selection within Medical Conditions and Symptoms fields.
- 6.8.9. Allow unlimited name length in tables and on forms.
- 6.8.10. Auto-populate NH County field based on State-supplied, ZIP code based, geolocation data.

6.9. Work/Project Plan

- 6.9.1. The selected Vendor must collaborate with the Department to develop a Work/Project Plan that results in the Department’s ability to use the Software solution. The implementation of the software solution must incorporate the following:
 - 6.9.1.1. The selected Vendor must define each stage of the project lifecycle, which includes, but is not limited to:
 - 6.9.1.1.1. Project Scope and Schedule Management – includes the processes required to ensure that the project includes all the work required, and only the work required, to complete the project successfully. Project Management includes the Project Kickoff, and activities relating directly to Solution Provisioning and Initial Data Migration.
 - 6.9.1.1.2. Project Cost Management – includes the processes involved in estimating, budgeting, and controlling costs so that the project can be completed within the approved budget.
 - 6.9.1.1.3. Project Quality Management – includes the processes and activities of the performing organization that determine quality policies, objectives, and responsibilities so that the project will satisfy the needs for which it was undertaken.
 - 6.9.1.1.4. Project Human Resource Management – includes the processes that organize and manage the project team.
 - 6.9.1.1.5. Project Communications Management – includes the processes required to ensure timely and appropriate generation, collection, distribution, storage, retrieval, and ultimate disposition of project information.
 - 6.9.1.1.6. Project Risk Management – includes the processes concerned with conducting risk management planning, identification, analysis, responses, and monitoring and control on a project.
 - 6.9.1.1.7. Project Procurement Management – includes the processes required to purchase or acquire the products, services, or results needed from outside the project team to perform the work.
 - 6.9.1.2. The selected Vendor must complete Department-specific custom configuration and training on the selected Vendor’s proposed solution, which includes, but is not limited to:
 - 6.9.1.2.1. Core Team Training.
 - 6.9.1.2.2. Custom Configuration Sessions.

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- 6.9.1.2.3. State Review and Verification.
- 6.9.1.2.4. State Authority to Operate prior to implementation.
- 6.9.1.3. The selected Vendor must develop, stage, and build a customized solution adding automation, customized reports, integrations, and conversions based on Department feedback, which includes, but is not limited to:
 - 6.9.1.3.1. Business Automation Configuration.
 - 6.9.1.3.2. Customized Reporting.
 - 6.9.1.3.3. Integration Development.
 - 6.9.1.3.4. Agency Review and Verification testing.
 - 6.9.1.3.5. Data Conversion User Acceptance Testing (UAT) Runs.
- 6.9.1.4. The selected Vendor must complete all UAT and end user training prior to production release transition, which includes, but is not limited to:
 - 6.9.1.4.1. Training Plan.
 - 6.9.1.4.2. Test Plan and Test Cases.
 - 6.9.1.4.3. User Acceptance Testing.
 - 6.9.1.4.4. Train the Trainer / End User Training.
 - 6.9.1.4.5. Final Extract for Production.
 - 6.9.1.4.6. Final Conversion Load into Production.
 - 6.9.1.4.7. Production Release Support and Transition.
- 6.9.1.5. The selected Vendor must complete the Project Timeline as part of the Work/Project Plan, in accordance with mutually accepted timeframes, as shown in Appendix E. Section 1 : Deliverables / Activities / Milestones Pricing.

6.10. Project Deliverable Review

- 6.10.1. The selected Vendor must conduct verification and validation reviews of the quality and completeness of project deliverables. Deliverables review must be performed by defined Vendor resources that are experienced and/or certified in the related technical, functional, or other requirements of the deliverable under review. Deliverables may include, but are not limited to:
 - 6.10.1.1. Project Management Plan, which will include project acceptance criteria.
 - 6.10.1.2. Project Schedule.
 - 6.10.1.3. Requirements Traceability Matrix.
 - 6.10.1.4. Data Migration Plan.
 - 6.10.1.5. Data Dictionary.
 - 6.10.1.6. System Architecture and Security Plan.
 - 6.10.1.7. Test Plan and Test Scripts.
 - 6.10.1.8. Implementation /Go-Live Plan.

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- 6.10.1.9. Department Project Status Reports.
- 6.10.1.10. Disaster Recovery Plan.
- 6.10.1.11. Authority to Operate (ATO) package.

6.11. Project Lessons Learned

- 6.11.1. The selected Vendor must document project lessons learned throughout the project and must provide this information to the project team and stakeholders throughout the project. In addition, the Vendor must provide a comprehensive report of lessons learned with recommendations for incorporation of best practices into future projects.

6.12. Design Phase

- 6.12.1. During the Design Phase the selected Vendor must work with the State’s project team to identify system requirements, including all reporting requirements. The identified requirements are to be transformed, by the selected Vendor, into a System Design Document that accurately describes the design of the therapeutic cannabis registry system. This document will be used as an input to system development. The Design Phase comprises the following actions and deliverables:

- 6.12.1.1. Transformation of all requirements into detailed specifications covering all aspects of the system.
- 6.12.1.2. Assessment and planning for security risks.
- 6.12.1.3. Establish scope and prepare a pre-migration plan, including but not limited to:
 - 6.12.1.3.1. Extract design: how the data is extracted, held, and verified
 - 6.12.1.3.2. Migration design: how data is transformed into the target structure
 - 6.12.1.3.3. Mapping rules: the details of the migration
 - 6.12.1.3.4. Test overview: tools, reporting, structure, and constraints
 - 6.12.1.3.5. Unit test: unit test specification
 - 6.12.1.3.6. Integration test: integration test specification
 - 6.12.1.3.7. Implementation/Go-Live Plan: actions required to “go live”
- 6.12.1.4. Approval to progress to the Development Phase

- 6.12.2. During the development of documentation, the selected Vendor shall:

- Write comprehensive, easy to understand documents with no redundant information
- Develop an organized document repository for critical project information, so Project Team members can easily access, store, and reference project documents and other deliverables from all life cycle phases
- Implement routine deliverable reviews to correct inaccuracies, incompleteness, and ambiguities
- Recycle or reference information from earlier documents where possible and beneficial

- 6.12.3. Table 2: Design Phase Deliverables

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Deliverable	Goals
Work/Project Plan	<ul style="list-style-type: none"> • Document a listing of the project’s milestones, activities, and deliverables with intended start and finish dates. • Document the methods used to manage the project lifecycle and deliver all end products.
Bi-Weekly Project Status Reports	<ul style="list-style-type: none"> • Provide updates on the health of the project and the status of each required deliverable. • Document the forecast of the next scheduled activities.
Systems Interface Plan and Design/Capability Specifies the construction details of the system, each system component’s interaction with other components and external systems, and the interface that allows end users to operate the system and its functions.	<ul style="list-style-type: none"> • Document the results of the system design process. • Describe how the system will satisfy requirements.
Communications and Change Management Plan	<ul style="list-style-type: none"> • Establish a baseline for and document all requirements for change control, design, and testing.

6.12.4. Deliverables produced during this phase must be reviewed in detail and must follow a standardized approval path. A signature page or section should accompany each deliverable requiring approval. The State will periodically request copies of these documents as part of its oversight responsibilities.

6.13. Development Phase

6.13.1. The purpose of the Development Phase is to convert the system design prototyped in the Design Phase into a working information system that addresses all documented system requirements. At the end of this phase, the working system will enter the Test Phase. To successfully complete the Development Phase the selected Vendor will need the System Design Document developed during the Design Phase and proper processes, standards, and tools.

6.13.2. The Development Phase comprises the following deliverables:

- 6.13.2.1. Building the system.
- 6.13.2.2. Testing and integrating the units into larger components.
- 6.13.2.3. Preparing the technical environment for the system.
- 6.13.2.4. Creating a Security Assessment Plan.
- 6.13.2.5. Approval to progress to the Test Phase.

6.13.3. During the development of documentation, the Development Team shall:

- 6.13.3.1. Write comprehensive, easy to understand documents with no redundant information.

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- 6.13.3.2. Develop an organized document repository for critical project information, so Project Team members can easily access, store, and reference project documents and other deliverables from all life cycle phases.
- 6.13.3.3. Implement routine deliverable reviews to correct inaccuracies, incompleteness, and ambiguities.
- 6.13.3.4. Recycle or reference information from earlier documents where possible and beneficial.

6.13.4. Table 3: Development Phase Deliverables

Deliverable	Goals
<p>Disaster Recovery Plan (DRP) IT-focused plan designed to restore operability of targeted systems, applications, or a computer facility due to a natural or man-made extended interruption of an agency’s business services.</p>	<ul style="list-style-type: none"> • Identify plans to restore operability in the event of extended interruption of services • Define and document concept of operations • Document notification procedures • Record damage assessment procedures, recovery activities, and reconstitution procedures
<p>System Security Plan (SSP) The SSP shall include NIST SP 800-53 security requirements (controls) of the system and describe the controls in place, or planned, for meeting those requirements. The SSP shall also delineates responsibilities and expected behavior of all individuals who access the system.</p>	<ul style="list-style-type: none"> • Describe planned activities to control access and protect the system and its information • Map security controls using the State’s NIST 800-53 security traceability matrix.
<p>Security Assessment Plan (SAP) The security and privacy controls contained in this document are the safeguards or countermeasures that, when implemented and enforced, will satisfy the State’s and NH DoIT information security compliance requirements and applicable NH State laws and rules, federal laws and State agreements with federal agencies to adhere to federal security requirements and policies.</p>	<ul style="list-style-type: none"> • Documents all testing to be conducted during the assessment to validate the NIST SP 800-53 security and privacy controls.

6.13.5. Deliverables produced during this phase must be reviewed in detail and must follow a standardized approval path. Updates should be revisited and enhanced as necessary as prescribed in this phase. A signature page or section must accompany each deliverable requiring approval. The State will periodically request copies of these documents as part of its oversight responsibilities.

6.14. Test Phase

6.14.1. In the Test Phase, testing of the system proves that the system meets all requirements, including those for performance and security. The in-depth security testing in this phase, which includes penetration testing and a vulnerability assessment, identifies any parts of the system that will not satisfy accreditation criteria. Finally, acceptance testing confirms the

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developed system satisfies the end users who identified the business need and the requirements.

6.14.2. The purpose of the Test Phase is to guarantee the system successfully built and tested in the Development Phase meets all requirements and design parameters. After being tested and accepted, the system moves to the Implementation Phase.

6.14.3. The Test Phase comprises the following deliverables:

6.14.3.1. Proof through system, security, and user acceptance tests that the system meets all requirements, functions according to design parameters, and satisfies all business, technical, and management stakeholders. Security testing and assessment will include, but is not limited to:

6.14.3.1.1. A vulnerability assessment (deep-dive evaluation) of the information security with the following steps:

- Define system assets and resources.
- Assign quantifiable value and importance to the resources.
- Identify the security vulnerabilities or potential threats to each resource.
- Develop a strategy to mitigate or eliminate the most serious vulnerabilities for the most valuable resources.
- Define and implement ways to minimize the consequences of the lesser vulnerabilities from becoming more serious.

6.14.3.1.2. “White box” penetration testing with the following steps:

- Determination of scope (in collaboration with the State).
- Targeted information gathering or reconnaissance.
- Exploit attempts for access and escalation.
- Sensitive data collection testing.
- Clean up and final reporting.

6.14.3.2. Security Assessment and Report assess the security controls employed within and inherited by the information system using assessment procedures specified in the Security Assessment Plan; and provide specific recommendations on how to correct weaknesses or deficiencies in the controls and address identified vulnerabilities utilizing a plan of action and milestones (POA&M). State reserves the right to request the selected Vendor use the State’s Security Assessment Report template.

6.14.3.2.1. At a minimum the following documents will be assessed:

- Business Agreement with Data Use Agreement (DUA).
- Configuration Management Plan (CMP).
- Contingency Plan (CP) and Test Results.
- Plan of Action and Milestones (POA&M).
- System Security and Privacy Plan (SSP), Final.
- Incident Response Plan (IRP) and Incident/Breach Notification and Test Plan.
- Privacy Impact Assessment (PIA) and other privacy documentation

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including, but not limited to, privacy notices and agreements to collect, use, and disclose PII and Privacy Act Statements.

- Security Awareness Training (SAT) Plan and Training Records.
- Interconnection Security Agreements (ISA).
- Information Security Risk Assessment (ISRA).
- Governance documents and privacy policy.

6.14.3.3. Assurance that the system functions as described in the Standard Operating Procedures.

6.14.3.4. Migration of data from the legacy system.

6.14.3.5. Approval to progress to the Implementation Phase.

6.14.4. The selected Vendor must provide a State user portal to support the creation and tracking of user acceptance testing issues (e.g., jira, github, etc.).

6.14.5. During the development of documentation, the Development Team shall:

6.14.5.1. Write comprehensive, easy to understand documents with no redundant information.

6.14.5.2. Develop an organized document repository for critical project information, so Development Team members can easily access, store, and reference project documents and other deliverables from all life cycle phases.

6.14.5.3. Implement routine deliverable reviews to correct inaccuracy, incompleteness, and ambiguities.

6.14.5.4. Recycle or reference information from earlier documents where possible and beneficial.

6.14.6. Table 4: Test Phase Deliverables

Deliverables	Goals
<p>Integration and User Acceptance Testing Detailed scripts used in the Test Phase for evaluating the completeness and correctness of the smallest parts of the system and the components created from those parts.</p>	<ul style="list-style-type: none"> • Identify detailed scripts for testing system components
<p>Deficiency Action Plan Tracks and summarizes test results. Defects may be documented via multiple commercially available bug tracking tools.</p>	<ul style="list-style-type: none"> • Allow team members to track reported bugs, or defects • Clearly communicate summary of defects found • Record facts regarding known bugs, such as times reported, individuals who reported them, defect statuses, and team members responsible for addressing the bugs
<p>Security Assessment Report (SAR)</p>	<ul style="list-style-type: none"> • The Security Assessment Report requires the use of a POA&M to track remediation of identified vulnerabilities and/or deficiencies.

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6.15. Implementation Phase

- 6.15.1. During the Implementation Phase, the selected Vendor will work with the State to achieve the key activity of installing and releasing the new system in its target environment. Supporting actions for the selected Vendor will include training end-users and preparing to turn the system over to the selected Vendor’s maintenance personnel.
- 6.15.2. The Implementation Phase comprises the following deliverables:
 - 6.15.2.1. Production installation and release.
 - 6.15.2.2. Training of end users on the system.
 - 6.15.2.3. State’s Authority to Operate (ATO). The system will not “go live” until the Implementation Phase is complete and the system is available for use to the State. The State will determine when the system functionality will be released to Public Users.

6.15.3. Table 5: Implementation Phase Deliverables

Deliverables	Goals
<p>Conduct Training and Develop Training Manual for End-Users This Manual focuses on the current release system processes for end users.</p>	<ul style="list-style-type: none"> • Provide detailed instruction for system operations for system users.
<p>Cutover to New Software For Software-as-a-Service, Vendors provide the system for use, but do not hand-over actual code.</p> <p>Consolidates summary information regarding the current status of the system and the project and provides decision makers with the information necessary to make a “Go/No Go” decision. It should include a checklist listing all work products, User Acceptance Test (UAT) results, other indicators of success measures and deliverable acceptance.</p>	<ul style="list-style-type: none"> • Deliver system that meets the business need and all requirements. • Deploy system to production environment. • Provide information necessary to make the go/no-go decision. • Consolidate status information regarding the effective completion of the project and achievement of project objectives and SDLC requirements. • Affirm achievement of all deliverable acceptance criteria.
<p>Complete Implementation Deployment Report Summarizes the assessment of Implementation activities at the end of the Implementation Phase.</p>	<ul style="list-style-type: none"> • Summarize assessment of implementation activities. • Evaluate the effectiveness of the system implementation after the system has been in production. • Determine if the system does what it was designed to do.
<p>Security Authorization Package The SSP, SAR and POAM together form a <i>security authorization package</i>. The State’s Authorizing Official will make a risk-based decision whether to grant an ATO based</p>	<ul style="list-style-type: none"> • Prepare the Security Authorization Package for the State’s DISO’s review and approval to submit for the State’s Authorizing Official’s

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Deliverables	Goals
<p>on the information in this package. This decision, made in consultation with other key stakeholders such as the State’s Deputy Information Security Officer (DISO) balances security considerations with the mission and operational needs of the agency.</p>	<p>signature.</p> <ul style="list-style-type: none"> • Prepare an ATO memo for AO signature. • State’s Authorizing Official signs the ATO memo. • ATO is granted. • Authorization decision document is issued and signed by the State’s DISO which lists the conditions under which the ATO will remain valid, including the ATO’s expiry date.

6.16. Operations and Maintenance Phase

- 6.16.1. During the Operations and Maintenance Phase, the information system’s availability and performance in executing the work for which it was designed is maintained. System operations will continue until the system’s termination date, when the next phase, Disposition, begins.
- 6.16.2. The Operations and Maintenance Phase comprises the following deliverables:
 - 6.16.2.1. Management of changes to the system.
 - 6.16.2.2. Monitoring of system performance.
 - 6.16.2.3. Performance of required security activities such as backups, vulnerability assessments, contingency planning, and audits.
 - 6.16.2.4. Security controls monitoring: once ATO is granted any changes to the system’s security boundary, or its environment must be continually assessed to ensure the system remains compliant. A new ATO is required when either significant process changes, system changes or changes to NIST 800-53 security controls and/or State or NH DoIT security requirements change.
 - 6.16.2.5. The selected Vendor must perform the following to ensure the system remains compliant:
 - 6.16.2.5.1. Perform regular, automated security scans on the system, and act on the findings in a timely manner.
 - 6.16.2.5.2. In collaboration with the State, keep the System Security Plan (and any other architecture/security-related documentation) up-to-date.
 - 6.16.2.5.3. Continuation of end user support through training and documentation
 - 6.16.2.5.4. Provision of a State user portal to support the creation and tracking of bug fixes, enhancements, and production issues (e.g., jira, github, etc.).

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6.17. Production Release and Post Production Support

- 6.17.1. The selected Vendor must provide data and application-specific technical resources to support the move to production.
- 6.17.2. The selected Vendor must lead the effort to transfer the system configuration and any required data from testing to production.
- 6.17.3. The selected Vendor must assist with the development of critical tasks, including data migration, reports, systems testing, UAT and interfaces that must be accomplished prior to moving to production.
- 6.17.4. The selected Vendor must provide post-production support for developed configuration and components, which may include but is not limited to:
 - 6.17.4.1. Assistance with new user interface or browser settings given not every user has accessed the new version of our software.
 - 6.17.4.2. Issue research.
 - 6.17.4.3. Escalation of issues that cannot be easily be resolved.
 - 6.17.4.4. Provision of a State user portal to support the creation and tracking of bug fixes, enhancements, and production issues (e.g., jira, github, etc.).
- 6.17.5. The selected Vendor must assist with the identification of issues for the inclusion in a post-production issues list.
- 6.17.6. The selected Vendor must assist with issues that arise related to the deliverables.

6.18. Training Plan

- 6.18.1. The selected Vendor must develop a Training Plan that must include, but is not limited to:
 - 6.18.1.1. Coordinating with the Department to schedule training and confirm the core training content.
 - 6.18.1.2. Providing remote core training.
 - 6.18.1.3. Providing information on how to register, login, search for, and find online training content.
- 6.18.2. The selected Vendor must provide an overview of the strategy for training.
- 6.18.3. The selected Vendor must define minimum competencies for the Department including approach for remediation of deficiencies related to Department personnel skills.
 - 6.18.3.1. However, ad hoc reporting tools built into the State user interface must be usable by State users of any skill level (i.e., knowledge of SQL should not be required for successful report building).
- 6.18.4. The selected Vendor must define components required in individual training plans, such as course outline and schedule.
- 6.18.5. The selected Vendor must provide a training schedule for all target audiences based on logical sequence of how content is delivered, availability of participants, and deployment timing.

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6.19. User Acceptance Test (UAT) Plan

- 6.19.1. The selected Vendor must provide a User Acceptance Test (UAT) Plan to support the Department’s implementation. The UAT Plan must include, but is not limited to:
 - 6.19.1.1. UAT process.
 - 6.19.1.2. High-level plan/schedule to conduct UAT.
 - 6.19.1.3. Who should participate.
 - 6.19.1.4. What should be tested.
 - 6.19.1.5. How to report and track an issue.
 - 6.19.1.6. Retesting issues that were fixed.
 - 6.19.1.7. Sign-off.
- 6.19.2. The selected Vendor must conduct UAT testing in three phases, which includes but is not limited to:
 - 6.19.2.1. Initial Test – Department runs through every test script, and logs all issues.
 - 6.19.2.2. Issue Remediation – Vendor remediates all issues found during initial test as well as for custom components.
 - 6.19.2.3. Remediation Testing – Department validates that all issues have been resolved.
- 6.19.3. The selected Vendor must provide a State user portal to support the creation and tracking of user acceptance testing issues (e.g., jira, github, etc.).

6.20. Annual Penetration Testing

- 6.20.1. The selected Vendor will manage and coordinate annual penetration testing using vendors who comply with Section 5.2 of the NIST SP 800-53 Technical Guide to Information Security Testing and Assessment guidelines. <http://nvlpubs.nist.gov/nistpubs/Legacy/SP/nistspecialpublication800-53.pdf>.
- 6.20.2. The selected Vendor will provide (annual) to the Department, the results from the independent vendors, including but not limited to:
 - 6.20.2.1. Completed and executed SAQ-D.
 - 6.20.2.2. PCI Attestation of Compliance (AOC).
 - 6.20.2.3. Before and after primary account number scans.
 - 6.20.2.4. Latest monthly/quarterly, Qualys, vulnerability report.
 - 6.20.2.5. Plan of action and milestone (POA&M) associated with the penetration testing results.

SECTION 7. DATA PROTECTION

- 7.1. The Contractor must comply with Exhibit I, Attachment 2 - Exhibit D: *DHHS Information Security Requirements*.

SECTION 8. DATA INTEGRATION AND INGESTION

- 8.1. The selected Vendor must provide the professional services and automated daily, no less than once per day, ability to export and/or provide direct data connection access all of the data maintained by the system

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and if needed delivered to the State via sFTP, per Exhibit I, Attachment 2 - *Exhibit D: DHHS Information Security Requirements* or another secured methodology mutually agreed upon by both parties. Additionally, a data dictionary and model must be provided for any data being provided to the State.

- 8.2. The selected Vendor must provide professional services to assist in the ingestion of the data provided utilizing the State's Informatica, Oracle and Tableau tools as well as create data models, visualizations, reports and dashboards for data analytics in the State's Enterprise Business Intelligence (EBI) system that currently consists of an Oracle 19c database, Informatica for ETL and Metadata Management, and Tableau for reporting and data visualizations.
- 8.3. The selected Vendor must have the ability, on a mutually agreeable timeline, to implement flexible data interfaces (API/Web Services) with the existing State data sources solutions of record.
- 8.4. The selected Vendor must utilize a single master participant index that ensures all network provider participants have the ability to search and match participant and eliminate duplication based upon the client's meaningful consent decision to share the data on the network.

SECTION 9. CONTRACT END-OF-LIFE TRANSITION SERVICES

9.1. General Requirements

If applicable, upon termination or expiration of the Contract the Parties agree to cooperate in good faith to effectuate a smooth secure transition of the Services from the Contractor to the State and, if applicable, the Contractor engaged by the State to assume the Services previously performed by the Contractor for this section the new Contractor shall be known as "Recipient"). Ninety (90) days prior to the end-of the contract or unless otherwise specified by the State, the Contractor must begin working with the State and if applicable, the new Recipient to develop a Data Transition Plan (DTP). The State shall provide the DTP template to the Contractor. The data must be returned to the State in a manner and format agreeable to the State. The information shall be returned within 15 days subsequent to the format and manner has been communicated in writing to the contractor.

- 9.1.1. The Contractor must use reasonable efforts to assist the Recipient, in connection with the transition from the performance of Services by the Contractor and its End Users to the performance of such Services. This may include assistance with the secure transfer of records (electronic and hard copy), transition of historical data (electronic and hard copy), the transition of any such Service from the hardware, software, network and telecommunications equipment and internet-related information technology infrastructure ("Internal IT Systems") of Contractor to the Internal IT Systems of the Recipient and cooperation with and assistance to any third-party consultants engaged by Recipient in connection with the Transition Services.
- 9.1.2. If a system, database, hardware, software, and/or software licenses (Tools) was purchased or created to manage, track, and/or store State Data in relationship to this contract said Tools will be inventoried and returned to the State, along with the inventory document, once transition of State Data is complete.
- 9.1.3. The internal planning of the Transition Services by the Contractor and its End Users shall be provided to the State and if applicable the Recipient in a timely manner. Any such Transition Services shall be deemed to be Services for purposes of this Contract.
- 9.1.4. Should the data Transition extend beyond the end of the Contract, the Contractor agrees that the Contract Information Security Requirements, and if applicable, the State's Business Associate Agreement, or other agreement, terms and conditions

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remain in effect until the Data Transition is accepted as complete by the State.

- 9.1.5. In the event where the Contractor has comingled State Data and the destruction or Transition of said data is not feasible, the State and Contractor will jointly evaluate regulatory and professional standards for retention requirements prior to destruction, refer to the terms and conditions of Exhibit I, Attachment 2 – Exhibit D: *DHHS Information Security Requirements*.

9.2. Completion of Transition Services

- 9.2.1. Each service or Transition phase shall be deemed completed (and the Transition process finalized) at the end of 15 business days after the product, resulting from the Service, is delivered to the State and/or the Recipient in accordance with the mutually agreed upon Transition plan, unless within said 15 business day term the Contractor notifies the State of an issue requiring additional time to complete said product.
- 9.2.2. Once all parties agree the data has been migrated the Contractor will have 30 days to destroy the data per the terms and conditions of Exhibit I, Attachment 2 – Exhibit D: *DHHS Information Security Requirements*.

9.3. Disagreement over Transition Services Results

- 9.3.1. In the event the State is not satisfied with the results of the Transition Service, the State shall notify the Contractor, by email, stating the reason for the lack of satisfaction within 15 business days of the final product or at any time during the data Transition process. The Parties shall discuss the actions to be taken to resolve the disagreement or issue. If an agreement is not reached, at any time the State shall be entitled to initiate actions in accordance with the Contract.

SECTION 10. STATE OWNED DEVICES, SYSTEMS AND NETWORK USAGE

- 10.1. If the selected Vendor's End Users are authorized by the State's Information Security Office to access the State's network or system and/or use a state issued device (e.g., computer, iPad, cell phone) in the fulfillment of the resulting Contract, each individual being granted access must:
- 10.1.1. Sign and abide by applicable State and New Hampshire Department of Information Technology (NH DoIT) use agreements, policies, standards, procedures and guidelines, and complete applicable trainings as required;
- 10.1.2. Use the information that they have permission to access solely for conducting official state business and agree that all other use or access is strictly forbidden including, but not limited, to personal or other private and non-State use, and that at no time shall they access or attempt to access information without having the express authority of the State to do so;
- 10.1.3. Not access or attempt to access information in a manner inconsistent with the approved policies, procedures, and/or agreement relating to system entry/access;
- 10.1.4. Not copy, share, distribute, sub-license, modify, reverse engineer, rent, or sell software licensed, developed, or being evaluated by the State, and at all times must use utmost care to protect and keep such software strictly confidential in accordance with the license or any other agreement executed by the State;
- 10.1.5. Only use equipment, software, or subscription(s) authorized by the State's Information Security Office;

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- 10.1.6. Follow the State’s procedure for requesting and installing State authorized software on State equipment;
- 10.1.7. Agree that email and other electronic communication messages created, sent, and received on a state-issued email system are the property of the State of New Hampshire and to be used for business purposes only. Email is defined as “internal email systems” or “state-funded email systems”;
- 10.1.8. Agree that use of email must follow State and NH DoIT policies, standards, and/or guidelines;
- 10.1.9. Agree when utilizing the State’s email system:
 - 10.1.9.1. To only use a state email address assigned to them with a “@affiliate.DHHS.NH.Gov”;
 - 10.1.9.2. Include in the signature lines information identifying the End User as a non-state workforce member;
- 10.1.10. Ensure the following confidentiality notice is embedded underneath the signature line:
CONFIDENTIALITY NOTICE: “This message may contain information that is privileged and confidential and is intended only for the use of the individual(s) to whom it is addressed. If you receive this message in error, please notify the sender immediately and delete this electronic message and any attachments from your system. Thank you for your cooperation.” and
- 10.1.11. Agree that End User’s will only access the State’s intranet to view the Department’s Policies and Procedures and Information Security webpages.
- 10.2. Selected Vendor’s End Users with a State issued email, access or potential access to Confidential Data, and/or a workspace in a State building/facility, must:
 - 10.2.1. Complete the State’s Annual Information Security and Compliance Awareness Training prior to accessing, viewing, handling, hearing, or transmitting State Data or Confidential Data; and
 - 10.2.2. Sign the State’s Business Use and Confidentiality Agreement and Asset Use Agreement, and the NH DoIT Statewide Computer Use Agreement upon execution of the Contract and annually throughout the Contract term.
- 10.3. The selected Vendor must agree, if any End User is found to be in violation of any of the above-stated terms and conditions of the Contract, said End User may face removal from the Contract, and/or criminal and/or civil prosecution, if the act constitutes a violation of law.
- 10.4. The selected Vendor must agree to notify the State a minimum of three business days prior to any upcoming transfers or terminations of End Users who possess State credentials and/or badges or who have system privileges. If End Users who possess State credentials and/or badges or who have system privileges resign or are dismissed without advance notice, the Contractor agrees to notify the State’s Information Security Office or designee immediately.
- 10.5. Workspace Requirement
 - 10.5.1. If applicable, the State will work with the selected Vendor to determine requirements for providing necessary workspace and State equipment for its End Users.

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SECTION 11. WEBSITE AND SOCIAL MEDIA

- 11.1. The selected Vendor must agree if performance of services on behalf of the State involves using social media or a website to solicit information of individuals that is Confidential Data. The Contractor must work with the State’s Communications Bureau to ensure that any social media or website designed, created, or managed on behalf of the State meets all State and NH DoIT website and social media requirements and policies.
- 11.2. The selected Vendor agrees Protected Health Information (PHI), Personally Identifiable Information (PII), or other Confidential Data solicited either by social media or the website that is maintained, stored or captured must not be further disclosed unless expressly provided in the Contract. The solicitation or disclosure of PHI, PII, or other Confidential Data is subject to Appendix I: – Exhibit D: *DHHS Information Security Requirements* and Appendix I: *DHHS Business Associate Agreement* and all applicable state and federal law, rules, and agreements. Unless specifically required by the Contract and unless clear notice is provided to users of the website or social media, the Contractor agrees that site visitation must not be tracked, disclosed or used for website or social media analytics or marketing.
- 11.3. State of New Hampshire’s Website Copyright
 - 11.3.1. All right, title and interest in the State WWW site, including copyright to all Data and information, shall remain with the State of New Hampshire. The State of New Hampshire shall also retain all right, title and interest in any user interfaces and computer instructions embedded within the WWW pages. All WWW pages and any other Data or information shall, where applicable, display the State of New Hampshire’s copyright.

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APPENDIX C: TOPICS FOR MANDATORY RESPONSES

This section provides a series of technical topics that the State of New Hampshire will consider in selecting a Solution for this RFP. Responses provided should be relevant to the Project described within this RFP, and where applicable, should be responsive to specific business and technical requirements established in Appendix B, Statement of Work. Vendors must limit narrative responses describing the Software, Technical, Services and Project Management topics defined for this Project. The following table identifies specific topics for narratives. A page limit is identified for each topic. If a response to a topic exceeds the page limit, the State will limit its consideration to the prescribed page limit.

TABLE C: Topics	
	PAGE LIMIT
C-1. Proposed Software Solution	
TOPIC 1. Description of Solution / Service Methodology	7 - Attachment Unlimited
TOPIC 2. Topic 2 – Technical Architecture	5
TOPIC 3. Topic 3 – Software Releases	5
TOPIC 4. Topic 4 – Data Import/Export Standards	3 - Include Attachment
C-2. Vendor’s Technical, Service and Project Management Experience	
C-2.1 Security and Protection of Data	
TOPIC 5. Information Security and Privacy	10
TOPIC 6. System Security	3
TOPIC 7. Security Testing	3
TOPIC 8. Security Risk Assessment	3
TOPIC 9. Data Quality	No Limit
TOPIC 10. Historical Data	5
C-2.2 State Personnel and Training	
TOPIC 11. User Training Approach	3
TOPIC 12. Preparation and Expectations of State Staff including Technical Knowledge Transfer	4 – Attachment Unlimited
C-2.3 Project Execution	

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TOPIC 13. Implementation Approach	10
TOPIC 14. Testing Management	6 – Attachment Unlimited
TOPIC 15. Migration Strategy	3
TOPIC 16. Environment Setup	2 – Attachment Unlimited
C-2.4 Project Management	
TOPIC 17. System Acceptance Criteria	6
TOPIC 18. Work/Project Plan, Status Meetings and Reports	No Limit
TOPIC 19. Project Risk and Issue Management	3
TOPIC 20. Scope Control	2
TOPIC 21. Quality Assurance Approach	6
C-2.5 Ongoing Operations For Vendor Hosted Solution	
TOPIC 22. Hosted System	5
TOPIC 23. Assurance and Business Continuity	2
TOPIC 24. Support and Maintenance for Vendor Hosted System	3

C-1. Proposed Solution

TOPIC 1. DESCRIPTION OF SOLUTION / SERVICE METHODOLOGY

The State will evaluate whether the proposed Solution includes the required features.

1. Provide a detailed description of your proposed Software Solution, including features and functionality.
2. Describe your organization’s experience/expertise with delivering solutions specifically related to the business requirements established in this RFP. Include a listing and description of any comparable system deployments in other states.
3. Describe how your Solution meets both the business requirements in Appendix B, Statement of Work, and technical requirements in Attachment 1 – DHHS DoIT IT Requirements Workbook.
4. Describe ease of use and user friendliness of your proposed Solution including learning curve, usability, and navigation. Highlight in detail specific advantages of the Interface.

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5. Provide an attachment with product literature describing the functionality of the proposed Software. Provide a table that maps your literature with topics listed in this Appendix C. Include references to page numbers.

TOPIC 2. TECHNICAL ARCHITECTURE

The State will evaluate the degree to which the architecture can be supported over an extended period, including the ease of support.

1. Describe the technical architecture (software, hardware, and Network) of the proposed Software Solution.
2. Describe the benefits of the technical architecture (i.e., scalability, adaptability, interoperability, etc.).
3. How will the proposed Software Solution be accessed (i.e., Web Browser over Internet)?
4. Describe any additional software that will be required on end-point devices and the access authorization level required to install it.
5. Describe any add-on or third-party Software used or required.
6. Is your product dependent on an existing solution not included in this proposal?
7. What programming languages are used for development, configuration, and customization of the proposed Solution? When was the core Software written?
8. What components of the Software, such as Middleware, are proprietary?
9. Is the proposed software application considered Open Source Software?
10. Describe any Open Source Software used by the proposed Solution.
11. Describe the degree to which the proposed Solution meets the requirements of RSA chapter 21-R:10, 21-R:11, and 21-R:13: <http://www.gencourt.state.nh.us/rsa/html/i/21-r/21-r-mrg.htm>.
12. Describe any hardware requirements associated with the hardware Solution.
13. Describe any remote access requirements to support the solution.

TOPIC 3. SOFTWARE RELEASES

The State will evaluate the degree to which the Software appears likely to evolve and the burden, if any, of keeping pace with the expected evolution.

1. Discuss the following aspects of anticipated future releases of the proposed Software. Coverage should include, but not be limited to, the following:
 - a. What types (maintenance, Enhancement, other) of releases are planned?
 - b. What is the historical (past 3 years) and expected frequency of each type of new release?
 - c. How is the content of future releases determined? (i.e., required maintenance, security, user input?)
2. Are Enhancements made for specific clients included in future releases for all clients? Describe any associated costs.
3. What specific Enhancements are planned for release within the next 24 months?
4. How is the content of a release communicated to the client?

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5. Can components of a release be applied individually or by Module without adversely affecting the overall functionality of the System?
6. How long is a release supported?

TOPIC 4. DATA IMPORT/EXPORT STANDARDS

The State will evaluate the ease of interfacing with our current data import and export layouts for data exchange.

1. Provide a detailed description of the mechanism and tools included in the proposed System to enable Interfaces defined in Attachment 1 – DHHS DoIT IT Requirements Workbook.
2. What types of Interfaces are possible with the proposed System (on-line, batch, etc.)?
3. What standard Interface formats are used with the proposed Software? What degree of flexibility is available?
4. Does the System employ standard definitions or file layouts for Interfaces? If so, include a sample in an Appendix.
5. What scheduling tools are required for initiation of Interfaces? Are these tools included with the proposed Software?
6. Are there any constraints upon the timing of batch Interfaces?
7. Provide an attachment with Data flow diagrams.

The State requires interoperability of the solution to ensure participating providers have the ability to search and match clients. Describe the level of interoperability of your solution and identify factors associated with the lack of interoperability functionality. Include the following:

1. Ability to implement flexible data interfaces (API/Web Services) with the existing State data sources solutions of record.
2. Ability to search and match clients and eliminate duplication. Searching algorithm must support standard, multi variable and case flexible matching.
3. Capacity, costs, requirements and timeline to support Single Sign-On and Mobile Applications.
4. Ability to search algorithm that support standard, multi variable and case flexible matching.
5. Vendor must demonstrate the capacity to support Single Sign-On and Mobile Applications.
6. Demonstrate the ability to ensure coordination and integration with components, other State solutions and allow interoperability on a mutually agreed timeline for designated solutions and subject to additional fees.
7. Provide documentation for standards and API's associated with Interoperability for any network provider to consume as needed to include SAML single sign-on and FHIR.

C-2. Vendor's Technical, Service and Project Management Experience
C-2.1. Security and Protection of Data

TOPIC 5. INFORMATION SECURITY AND PRIVACY

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The State will evaluate the Vendor's understanding and implementation of information security controls required to safeguard the security and confidentiality of data from risk.

Provide detailed responses to the following:

1. For SaaS services provide a copy of your firm's Consensus Assessments Initiative Questionnaire (CAIQ). Version 4.0 is preferred, but the State will accept v3.1 or a Security Controls Traceability Matrix (SCTM) mapped to NIST 800-53, HIPAA/HITECH (Omnibus Rule), and HITRUST CSF v8.1. SCTM containing the following columns: Control Domain, Control ID, Question ID, Control Specification, and response to meeting the Control (yes, no, N/A).
2. Provide the State with a PCI Attestation of Compliance (ACO) (declaration of compliance with PCI DSS). The ACO must be completed by a Qualified Security Assessor (QSA) or the firm's merchant. The proposed solution must not require the State to complete any PCI compliance requirements, Describe and provide a system design diagram showing how this will be achieved.
3. Describe how the solution securely captures and transmits end-user credit and debit card information.
4. Describe the support or processes you have in place to assist with a State Privacy Impact Assessment (PIA)?
5. Does your firm have a current and enforced information security management policy?
6. Describe your firm's Information Security Incident and Response plan and process in place for monitoring for suspicious activities and data breaches.
7. Does your firm follow NIST 800-53 standards?
8. Has your firm experienced any data breaches, ransomware, phishing, or malware security incidents involving client data or systems?
9. Have you ever had security incidents with a third-party vendor?
10. Does your firm have a third-party management strategy or policy?
11. List and describe which third-party vendors you would share State information with.
12. What security controls/practices do you have in place to safeguard the security and confidentiality of State data with third-party vendors?
13. Describe the process you have in place for sharing and auditing subcontractors who will be required to adhere to the terms and conditions of the State's BAA, or other agreement, information security requirements, and other contract terms and conditions?
14. Describe insurance carried to cover Security Incidents and Data Breaches related to the proposed solution.

TOPIC 6. SYSTEM SECURITY

The State will evaluate the degree to which the proposed System is designed and architected to ensure the confidentiality and integrity of its valued asset, Data.

Describe the System security design and architectural features incorporated into the proposed Software including:

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1. The identification and authentication methods used to ensure that users and any interfacing software applications are identified and that their identities are properly verified.
2. The authorization methods used to ensure that users and client software applications can only access Data and Services for which they have been properly authorized.
3. The immunity methods used to ensure that unauthorized malicious programs (e.g., Viruses, worms and Trojan horses) do not infect the software application.
4. The methods used to ensure that communications and Data integrity are not intentionally corrupted via unauthorized creation, modification, or deletion.
5. The methods used to ensure that the parties to interactions with the software application cannot later repudiate or rebut those interactions.
6. The Intrusion Detection methods used to ensure the detection, recording, and review of attempted access or modification by unauthorized individuals.
7. The privacy methods used to ensure that Confidential Data and sensitive communications are kept private.
8. The system maintenance methods used to ensure that system maintenance does not unintentionally disrupt the security mechanisms of the software application or supporting hardware.
9. The testing methods conducted to Load and Stress Test your Software to determine its ability to withstand Denial of Service (DoS) attacks.
10. The Software patch schedule employed to protect the Software from new security vulnerabilities as they arise.
11. The ability of the Software to be installed in a “locked-down” fashion so as to turn off unnecessary features (user accounts, Operating System Services, etc.) thereby reducing the Software’s security vulnerabilities and attack surfaces available to System hackers and attackers.
12. The notification and escalation process in the event of an intrusion.

Describe the System assurance provisions incorporated into the proposed Software. At a minimum, discuss the following:

1. What process or methodology is employed within the proposed Software to ensure Data integrity?
2. To what degree does your approach rely on System assurance capabilities?
3. If multiple Databases are employed, what extra procedures are employed to ensure synchronization among Databases?

TOPIC 7. SECURITY TESTING

The State will evaluate the Vendor’s approach to Security Testing.

Describe the testing tools and methodologies used for testing the security of the software application and hosting environment.

1. How can you ensure the security and confidentiality of the State Data collected on the system?
2. What security validation Documentation will be shared with the State?

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3. Do you use internal or external resources to conduct security testing?

TOPIC 8. SECURITY RISK ASSESSMENT

The State will evaluate the Vendor's approach to Security Risk Assessment and Management.

Describe the strategy and security risk management tools your firm employs to identify, mitigate, and remediate security vulnerabilities. Provide detailed responses to the following:

1. If the system requires the engagement of a Cloud Service Provider do use SOC 2 reports as part of your strategy to assess that effective security controls are in place, as well as, to address security risks as it relates to security, availability, processing integrity, confidentiality and privacy?
2. Does your firm have an Information Security Risk Management Plan?
3. Which security risk model or framework does your firm use?
4. Describe your firm's security risk assessment approach and process for client projects.
5. Does your firm employ risk assessment tools to monitor for potential risk to client systems and data?
6. In regards to client projects, does your firm perform a security risk assessment after a new or major system change is made prior to going into production? What is the process if a vulnerability is detected?
7. Complete and digitally sign the NH DoIT DHHS Version Vendor Risk Assessment Report (VRAR) Appendix J. Please note if there is a discrepancy with the Appendix I – Exhibit E DHHS Information Security Requirements take precedence over the requirements outlined in the VRAR.

TOPIC 9. DATA QUALITY

The State will evaluate whether the approach to Data Quality will support the Agency's data quality standards and plan.

1. Describe the data quality approach used in a previous project. Include a sample data quality plan if possible.
2. What approach does your company use to align with federal data quality plan requirements?

TOPIC 10. HISTORICAL DATA

The State will evaluate the degree to which the proposed Solution provides for the ability to view historical transactions.

1. Describe in detail the manner in which users and the potential Vendor's System Administrators can view transactional Data.
2. Describe your experience with organizations similar to the State's Single Covered Entity designation and discuss what historical Data they have and have not converted/migrated into the new system.

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3. How many years of historical Data is typically converted in a project similar to this one? Describe how you will help the State determine the right number of years to convert.

C-2.2. State Personnel and Training

TOPIC 11. USER TRAINING APPROACH

The State will evaluate whether the training approach is likely to prepare users adequately to use the new System from the day of deployment, including maximum knowledge transfer to allow the State to conduct its own training in the future.

1. Describe in detail the options for Vendor-supplied training. Include a proposed training schedule, training topics, and options for participation (e.g., in-person, webinars, one-on-one, Online on-demand) that would be provided.
2. Describe in detail the Documentation that is available to support the training of users of the proposed Solution, including help screens, Online or printable manuals and knowledge bases. If any of these resources would need to be developed or modified for the proposed Solution, include a timeline for their availability. If there are access restrictions on any of this material indicate what those restrictions are.

TOPIC 12. PREPARATION AND EXPECTATIONS OF STATE STAFF INCLUDING TECHNICAL KNOWLEDGE TRANSFER

The State will evaluate whether the provisions to prepare State staff participating in the Project will enable the staff to contribute appropriately and the State will evaluate requirements for State staff to support the system after Implementation.

1. Describe how State staff assigned to the Project Team will be involved throughout the Project, including design meetings, decision making, scope control, and user testing.
2. Provide an overview of Project Team interactions and dependencies between functions.
3. Provide recommendations for State staff requirements to maintain the system after Implementation (skill, # of resources, etc.). Include a worksheet or table identifying State staff resources and the projected number of weekly hours to support the system moving forward.
4. The transfer of technical knowledge is important for operations, configuration/development, workflow, business setup, maintenance, and management. Address training curriculum, training priorities and prerequisites, specific commercial and custom courses, and one-on-one learning opportunities for State staff.
5. Describe and provide samples of the available Documentation supporting the System. Does the Documentation include technical specifications, troubleshooting tips, and technical contact information?
6. Describe how the proposed solution's ad hoc reporting tools that are built into the State user interface are usable by State users of any skill level (e.g., experience with SQL not required).

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C-2.3. Project Execution

TOPIC 13. IMPLEMENTATION APPROACH

The State will evaluate the quality of analysis, reasonableness, and flexibility evident in the proposed Implementation approach.

Provide one or more feasible Implementation Plans. For each plan provided:

1. Identify timeframes for major milestones, including timing for discontinuing legacy Systems.
2. Discuss cost implications of the plan(s), including implications on maintenance fees and available Implementation options that would lower costs.
3. Address the level of risk associated with each plan.
4. Identify which plan you recommend, and address why this is the approach you recommend.
5. Describe the Vendor’s tool for the State and the Vendor to communicate and share information throughout the Project – (i.e., SharePoint, Portal), including for logging and tracking of support tickets, bug fixes, enhancement requests, and production issues.

TOPIC 14. TESTING MANAGEMENT

The Contractor must provide end-to-end planning and preparation for testing and Acceptance of solutions throughout the Project using an industry standard methodology. This must include training, a detailed testing methodology which covers all “areas of testing” (refer to Terms and Definitions), security, required staffing with clear roles and responsibilities, test cases and scripting with associated Data, status and results Reporting. The Test Plan defined must ensure designed and implemented Solutions are fully supported, tested, and documented.

It is anticipated that the following testing phases will be included in the Project described in this RFP. The State will evaluate the quality of testing approach used by the Vendor.

1. Describe in detail the end-to-end testing methodology you propose for this Project.
2. Describe testing tools that will be used as part of the Solution testing. Will these tools be available to the State or will the State be required to purchase tools?
3. Using the following chart, describe the roles and responsibilities required of Vendor staff and State staff; include additional information as needed.

Test Phase	Vendor Role /Responsibility	State Role/Responsibility	Tools	Timeframe
Management of the Testing Process				
Test planning				
Test scenario development				
Data preparation				
System preparation				

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Unit Testing				
System integration testing				
Defect tracking				
Other				

4. What support will be provided to prepare State staff prior to and during Acceptance Testing (e.g., training, user documentation, vendor staff on site, remote support, etc.)?
5. Will configured Software be delivered in functional components for State Acceptance Testing?
6. The State has defined three (3) levels of Defect severity. Describe how you will adopt this methodology or provide a mapping to outline your proposed representation of Defect severity.
7. What tools will be used to document and track status of suspected Defects?
8. What role will the State play in classification and prioritization of Defects?
9. How quickly will a suspected Defect be investigated and how quickly will the Defects be corrected?
10. Provide a sample User Acceptance Test Plan from a completed project as an appendix.
11. Will System performance be measured and documented using the State’s infrastructure and Data?
If yes, how?
12. Outline your methodology for PCI Penetration Testing and provide confirmation that it is NIST 800-53 compliant.

TOPIC 15. MIGRATION STRATEGY

The State will evaluate the degree to which the Vendor will ensure that Data conversion is effective and impacts State staff to the minimum extent possible.

1. It is the State’s assumption that the Data Conversion/Migration Plan is a Deliverable that will ultimately lay out the plan required to convert and migrate Data from legacy system(s) to the new environment. Discuss your high-level approach to carrying out Data conversion/migration activities. Be sure to discuss software tools and processes used to support this effort.
2. Describe the approach that will be used for assessing Data quality and conducting Data cleansing prior to conversion. Be sure to include whose responsibility it will be and the process you are proposing to deal with incomplete records in the legacy system.
3. Discuss the use of automated tools in Data conversion. When will automated tools be used? When will manual intervention be required?
4. What Data do you know will be challenging to convert/migrate and why? What special approach will you recommend as part of the planning document to help reduce the impact of this challenge on this Project?
5. Discuss your approach to working with the State to document a Data conversion/migration plan and process. Describe how you will determine how much historical Data is available and what is appropriate to be made available within the new system.
6. Define expectations for State and Vendor roles during the development of the Data conversion/migration plan and process.
7. What lessons learned can you share with us from other Implementations that are important to understand as part of development of the Data conversion/migration plan and process?

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8. Describe your approach for integrating the State’s active patient/caregiver dataset between the registry system and the State’s licensees’ (ATC) local sales database, hosted by potentially different vendors (e.g., API; data export, sFTP transfer, etc.)?

TOPIC 16. ENVIRONMENT SETUP

The State will evaluate whether proposed environments are sufficient to satisfy Project needs, including phased Implementation.

1. Describe the different software and hardware environments required for the concurrent development, testing, and production of the proposed solution. Discuss how the proposed environments support the implementation of the hosted solution, including all necessary training.
2. The State believes that additional Software License fees solely related to establishing environments for normal development lifecycle would be inappropriate. If the Proposal differs from this standard, describe and provide a rationale for the difference.
3. Provide diagrams of the environment(s) including Data architecture and Data flows (include as an attachment).
4. Describe the ramifications to the State if the recommended environment(s) are not followed (e.g., separate Database and software application Server works better for clients).

C-2.4. Project Management

TOPIC 17. SYSTEM ACCEPTANCE CRITERIA

The State will evaluate whether proposed Acceptance criteria will assure the State that the new System is functioning effectively before being turned over for State for User Acceptance Testing.

1. Propose measurable criteria for State final Acceptance of the System.
2. Discuss how the proposed criteria serve the interest of the State.

TOPIC 18. WORK/PROJECT PLAN, STATUS MEETINGS AND REPORTS

The State will evaluate whether the Vendor’s preliminary proposed Work/Project Plan includes a description of the Schedule, tasks, Deliverables, major milestones, task dependencies, and a payment Schedule. The Work/Project Plan must also address resource allocations (both State and Vendor team members). This narrative should reflect industry accepted customer engagement and project management tools and methods consistent with Project Management Institute (PMI) standards and be consistent with narratives on other topics. The Software to be used to support the ongoing management of the Project should also be described in the Work/Project Plan. Additionally, the State will evaluate the degree to which Project Reporting will serve the needs of State Project leaders.

1. The State sees a Work/Project Plan as essential to reaching a comprehensive agreement with a Vendor. Consequently, the State will seek to refine the proposed Work/Project Plan prior to Contract approval with the selected Vendor and to incorporate the refined Work/Project Plan by reference into a Contract.

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2. Provide a preliminary Work/Project Plan depicting tasks, task dependencies, Schedule, milestones/critical events, Deliverables, and payment Schedule. Include the Deliverables outlined in Appendix B, Statement of Work (Business/Technical Requirements and Deliverables), appropriate status meetings and Reports, and include other Deliverables that you, based on past experience, would recommend be developed for this Project.
3. Define both proposed Written and Software Deliverables. Include sufficient detail that the State will be able to identify departures from the Plan in sufficient time to seek corrective action.
4. Describe all Deliverables to be produced in the Project. Ensure that all Deliverables and milestones are identified in the Work/Project Plan. Identify and discuss the following:
 - a. All assumptions upon which the Work/Project Plan is based;
 - b. Descriptions of recommended roles by activity and time required for both State and Vendor members of the Project Team;
 - c. Assignments of members of the Vendor's team identified by role to specific tasks; and
 - d. Critical success factors for the Project.
5. Discuss how this Work/Project Plan will be used and discuss State access to Work/Project Plan details.
6. Discuss frequency for updating the Plan, at a minimum biweekly and for every status meeting. Explain how the State will know whether the project is on schedule, project expenses incurred to date, and within budget.
7. Define your planned approach to maintaining all project documentation. For example, how will this documentation be available to the State staff (Word Doc, SharePoint, etc.).

The State will evaluate the degree to which Project Meetings and Reporting will serve the needs of State Project leaders.

The State believes that effective communication and Reporting are essential to project success. As reasonably requested by the State, the Vendor must provide the State with information or reports regarding the Project. The Vendor must prepare special reports and presentations relating to Project Management, and must assist the State in preparing reports and presentations, as reasonably requested by the State, all at no additional cost to the State.

1. Describe your planned project management activities including Introductory and Kickoff Meetings, Status Meetings, Work/Project Plan Updates, and Special Meetings. Discuss frequency, duration, participants, agenda items, etc.
2. Describe how you will report Project health to communicate Project status with Stakeholders and for the early recognition of factors that may result in Project problems requiring special attention, including any delays in Project completion.

TOPIC 19. PROJECT RISK AND ISSUE MANAGEMENT

The State will evaluate the extent to which the proposed approach will contribute to the timely identification and effective action on project issues and risks. The State will also evaluate whether

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the approach recognizes and addresses appropriate State involvement in project risk and issue management.

1. Provide proposed methodologies for project risk and issue management. Discuss State and Vendor responsibilities. The State seeks a clear means to compare planned versus actual status, including percentages, at a sufficiently detailed level to ensure the State can adequately monitor the progress of the Project. Be sure to identify any essential time constraints on State actions. Escalation procedures will be defined in a Contract between the State and the Vendor.

TOPIC 20. SCOPE CONTROL

The State will evaluate the degree to which proposed modifications in scope are scrutinized to ensure that only essential changes are approved. Evaluation will also address the quality and timeliness of information that will be available about a proposed scope change.

1. Demonstrate your firm's ability to manage scope creep by discussing tools and methodologies, as well as past project experiences.

TOPIC 21. QUALITY ASSURANCE APPROACH

The State will evaluate the degree to which proposed procedures will ensure that Deliverables require limited modification when submitted for approval.

1. Describe the methodology that will be employed to ensure that each type of Deliverable is of high quality before submission for State consideration (Written, Software, and Non-Software). Discussion should include but not be limited to:
 - a. Provision for State input to the general content of a Written Deliverable and Non-Software Deliverables prior to production;
 - b. The standard for Vendor internal Review of a Written Deliverable and Non-Software Deliverables prior to formal submission; and
 - c. Testing of Software Deliverables prior to submission for Acceptance Testing.

C-2.5. Ongoing Operations for Vendor Hosted Solution

TOPIC 22. HOSTED SYSTEM

The State will evaluate service model being offered.

1. Describe the environment in which the solution will be hosted. Is the solution cloud based, and if so, on which platform? Describe the support and services that your solution requires from the State to go live in your preferred environment.
2. The State requires the service provider to use web services exclusively to Interface with the State of New Hampshire's Data in near Real-Time when possible. Describe whether or not the solution uses real time, near real time, or batch interfacing.

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3. Describe any client software or plug-in downloads that may be required.

It is preferred that the service provider's relevant Data Center(s) are certified to the Federal Information Security Management Act (FISMA) level 3 ATO4 and/or Federal Risk and Authorization Management Program (FedRAMP) CSP5, and have independent annual SOC 2 Type 2 audits performed.

Because the contract includes protected health information (PHI) the service provider's relevant Data Center(s) must be HIPAA compliant and have a current HROC (HIPAA report on compliance) and a third-party compliance assessment with evidence the vendor has completed a security risk assessment and resolved any deficiencies or vulnerabilities.

1. Provide Certifications and latest audit of the Data Center(s) being used in the Solution offered.
2. If Certifications and audits cannot be provided, the service provider will be required to implement and maintain appropriate administrative, technical and organizational security measures to safeguard against unauthorized access, disclosure or theft of Personal Information and Non-Public Information. Such security measures must be in accordance with recognized industry practices in the National Institute of Standards and Technology (NIST) Controls 800-53 (latest version) where applicable. Describe controls including but not limited to:
 - a. Data storage, Data Encryption, Data destruction, Data location, Data handling;
 - b. Business continuity and disaster recovery plan;
 - c. Security incident or Data Breach notification;
 - d. Change control and maintenance;
 - e. Patching and upgrades.
3. Describe how the service provider will provide compliance to all Federal and State of New Hampshire laws, regulations, statutes, policies, standards, and best practices relevant to internet based Hosting.
4. The State requests regularly scheduled Reporting to the State of New Hampshire. Describe the availability of Reports available to the State including latency statistics, user access, user access IP address, user access history and security logs for all State of New Hampshire files related to this RFP.
5. The State requires the system to be available 24/7/365 (with agreed-upon maintenance downtime), and for the Vendor to provide service to customers as defined in a Service Level Agreement (SLA) which will be developed and agreed to in the Contract phase. The State also requires the service provider to guarantee 99.9% uptime (excluding agreed-upon maintenance downtime). Describe how you will meet these requirements.

TOPIC 23. ASSURANCE OF BUSINESS CONTINUITY

The State will evaluate the degree to which the proposed plan to assure business continuity mitigates risk to the State, and its potential for Implementation (cost effective and easy to implement).

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1. Provide a plan for business continuity if a disaster occurs at the Data center that is Hosting the proposed Solution.
2. The State believes that additional Software License fees solely related to redundancy for assurance of business continuity would be inappropriate. If the Proposal differs from this standard, describe and provide rationale for the difference.

TOPIC 24. SUPPORT AND MAINTENANCE FOR VENDOR HOSTED SYSTEM

The State will evaluate whether the Vendor's proposed support and maintenance plan includes a description of the types and frequency of support, detailed maintenance tasks – including Scheduled maintenance and upgrades – and any other dependencies for on-going support and maintenance of the system. This narrative should reflect current “best practices” for these tasks.

1. Describe how the system hardware, software, and/or database will be maintained in accordance with the Specifications, terms, and conditions of the RFP, including providing upgrades and fixes as required.
2. Describe the Help Desk Support that will be available to State staff.
3. The state has defined three (3) levels of Defect severity. Describe how you will adopt this methodology or provide a mapping to outline your proposed representation of Defect severity.
4. Describe any particular procedures required to handle escalation and emergency calls.
5. Detail the types and frequency of support tasks required.
6. Describe any different levels and or models of support and maintenance that you provide.
7. Describe how the Vendor will work with the State to identify and troubleshoot potentially large-scale System failures or Deficiencies by collecting the following information:
 - a. Mean time between Reported Deficiencies with the Software;
 - b. Diagnosis of the root cause of the problem; and
 - c. Identification of repeat calls or repeat Software problems.
8. For all maintenance service calls, describe how the Vendor will ensure the following information will be collected and maintained:
 - a. Nature of the Deficiency;
 - b. Current status of the Deficiency;
 - c. Action plans, dates, and times;
 - d. Expected and actual completion time;
 - e. Deficiency resolution information;
 - f. Individual issue is resolved by;
 - g. Identifying number (i.e., work order number); and
 - h. Individual issue identified by.
9. Describe how the State will be informed of emergency maintenance or system outages.
10. Describe how the Vendor will ensure all hardware and Software components of the Vendor Hosting infrastructure will be fully supported by their respective manufacturers at all times. All critical

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- patches for Operating Systems, Databases, web services, etc., must be applied within sixty (60) days of release by their respective manufacturers.
- 11.** Describe any procedures required to handle escalation and emergency calls. Describe how the Vendor will work with the State to identify and troubleshoot large-scale System failures. Describe the Vendor's Change Management policy for notification and tracking of change requests as well as critical outages.
 - 12.** Detail the types and frequency of scheduled support and maintenance tasks required.
 - 13.** Describe any different levels and or models of support and maintenance that you provide.

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APPENDIX D STANDARDS FOR DESCRIBING VENDOR QUALIFICATIONS

APPENDIX D: STANDARDS FOR DESCRIBING VENDOR QUALIFICATIONS

This Appendix identifies specific information that must be submitted.

1. Vendor Qualifications

- 1.1. The selected vendor's qualifications are important factors in selecting Software and accompanying Implementation and Support Services. To facilitate evaluation of Vendor qualifications, the State seeks information about:
 - 1.1.1. Corporate qualifications of each Vendor proposed to participate in the Project;
 - 1.1.2. Proposed team organization and designation of key staff;
 - 1.1.3. Individual qualifications of Candidates for the role of Project Manager; and
 - 1.1.4. Individual qualifications of Candidates for other key staff roles.

2. Required Information on Corporate Qualifications

- 2.1. Describe the major business areas of the firm and length of time in business. Provide a high-level description of the firm's organization and staff size. Discuss the firm's commitment to the public sector, experience with this type of Project Implementation and experience in New Hampshire.

3. Financial Strength

- 3.1. Provide at least two of the following:
 - 3.1.1. The current Unique Entity Identifier (formerly Dunn and Bradstreet) report on the firm;
 - 3.1.2. The firm's two most recent audited financial statements; and the firm's most recent un-audited, quarterly financial statement; and/or
 - 3.1.3. The firm's most recent income tax return.

4. Litigation

- 4.1. The relevance of involvement of the company in litigation will be considered. Identify and describe any claims made by clients during the last ten (10) years. Discuss merits, current status and, if available, outcome of each matter.

5. Prior Project Descriptions

- 5.1. Provide descriptions of no more than three (3) similar projects completed in the last five (5) years. Each project description should include:
 - 5.1.1. An overview of the project covering type of client, objective, project scope, role of the firm and outcome;
 - 5.1.2. Project measures including proposed cost, actual project cost, proposed project schedule and actual project schedule;
 - 5.1.3. Names and contact information (name, title, address and current telephone number) for one or two references from the client; and
 - 5.1.4. Names and project roles of individuals on the Vendor proposed team for the New Hampshire Project that participated in the project described.

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6. Subcontractor Information

- 6.1. The selected vendor must provide information on any Subcontractors proposed to work on this Project. Required information must include but not be limited to:
- 6.1.1. Identification of the proposed Subcontractor and a description of the major business areas of the firm and their proposed role on the Project;
 - 6.1.2. A high-level description of the Subcontractor's organization and staff size;
 - 6.1.3. Discussion of the Subcontractor's experience with this type of Project;
 - 6.1.4. Resumes of key personnel proposed to work on the Project;
 - 6.1.5. Two references from companies or organizations where they performed similar services (if requested by the State); and
 - 6.1.6. Physical location of Subcontractor's headquarters and branch offices, including offshore locations.

7. Team Organization and Designation of Key Vendor Staff

- 7.1. Provide an organizational chart depicting the Vendor Project Team. This chart should identify key staff required from the Vendor, any Subcontractors, and the State.
- 7.2. Define the responsibilities and length of assignment for each of the roles depicted in the organizational chart. Identify the positions that should be designated key staff. Ensure that designation of key Vendor staff includes subject matter experts in the following areas:
- 7.2.1. Experience in the type of services to be provided by this RFP;
 - 7.2.2. Relevant education and training, including college degrees, dates of completion and institution name and address.
- 7.3. A single team member may be identified to fulfill the experience requirement in multiple areas.

8. Candidates for Project Manager and Key Vendor Staff Roles

- 8.1. Although the State recognizes that staff availability is somewhat uncertain, qualifications of the Project Manager are particularly critical. Therefore, the State requires that the Project Manager be identified with some degree of certainty.
- 8.2. For the Project Manager Candidate, and all other Key Vendor Staff Roles, provide a resume not to exceed three (3) pages in length addressing the following:
- 8.2.1. The candidate's educational background;
 - 8.2.2. An overview of the candidate's work history;
 - 8.2.3. The candidate's project experience relevant to the proposed project, including project type, project role and duration of the assignment;
 - 8.2.4. Any significant Certifications held by or honors awarded to the candidate; and

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- 8.2.5. At least three (3) references, with publicly available contact information that can address the candidate's performance on past projects.

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APPENDIX E: PRICING

Pricing

The selected Vendor’s Price Proposal must be based on the worksheets formatted as described in this Appendix.

The selected Vendor must assume all reasonable travel and related expenses. All labor rates will be “Fully Loaded,” including, but not limited to: meals, hotel/housing, airfare, car rentals, car mileage, and out-of-pocket expenses.

1. Deliverables / Activities / Milestones Pricing

1.1.1. The selected Vendor must include the IT service activities, tasks and preparation of required Deliverables, pricing for the Deliverables required based on the proposed approach, and methodology and tools identified in Attachment 1 – DHHS DoIT IT Requirements Workbook.

2. Software License Pricing

2.1. Please utilize the following table to detail the required Software costs associated with your Proposal.

Appendix E: Table 2		
SOFTWARE LICENSE PRICING WORKSHEET		
	SOFTWARE ITEM	INITIAL COST
1		
2		
3		
Total		

NOTE to Vendor: Key Assumption(s): Vendors should add/use a separate row for each Software License item proposed.

3. Software Operations, Maintenance and Support Pricing

3.1. Use the following table to provide a detailed listing of the annual operational costs of each Software product that is part of your Proposal, including operations, maintenance and support. This should not include the initial cost identified in the Software License Pricing Worksheet listed above.

Appendix E: Table 3					
SOFTWARE OPERATIONS, MAINTENANCE, AND SUPPORT PRICING WORKSHEET					
SOFTWARE NAME	State Fiscal Year 2024 (G&C Approval – June 30, 2024)	State Fiscal Year 2025 (July 1, 2024 – June 30, 2025)	State Fiscal Year 2026 (July 1, 2025 – June 30, 2026)	State Fiscal Year 2027 (July 1, 2026 – June 30, 2027)	State Fiscal Year 2028 (July 1, 2027 – December 31, 2027)

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Total Per SFY					
TOTAL					

NOTE to Vendor: Key Assumption(s): Vendors should add/use a separate row for each Software package proposed that requires annual support costs.

4. Hosting Pricing

4.1. Use the following table to provide a detailed listing of the annual Hosting costs of the full software application. This may include Web Site Hosting Fee, Technical Support Fee, Maintenance and Update Fees, Data Storage Fees, Upload/Download Fees etc.

Appendix E: Table 4					
HOSTING DETAIL PRICING WORKSHEET					
HOSTING DESCRIPTION	State Fiscal Year 2024 (G&C Approval – June 30, 2024)	State Fiscal Year 2025 (July 1, 2024 – June 30, 2025)	State Fiscal Year 2026 (July 1, 2025 – June 30, 2026)	State Fiscal Year 2027 (July 1, 2026 – June 30, 2027)	State Fiscal Year 2028 (July 1, 2027 – December 31, 2027)
Total per SFY					
TOTAL					

NOTE to Vendor: Key Assumption(s): Vendors should add/use a separate row for each Hosting item proposed.

5. Other Costs

5.1. If other costs exist but were not handled in the above Pricing Table Worksheets, please use the following table to provide a detailed itemization of any additional cost.

Appendix E: Table 5					
OTHER COST PRICING WORKSHEET					
OTHER COST DESCRIPTION	State Fiscal Year 2024 (G&C Approval – June 30, 2024)	State Fiscal Year 2025 (July 1, 2024 – June 30, 2025)	State Fiscal Year 2026 (July 1, 2025 – June 30, 2026)	State Fiscal Year 2027 (July 1, 2026 – June 30, 2027)	State Fiscal Year 2028 (July 1, 2027 – December 31, 2027)

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Total per SFY					
TOTAL					

NOTE to Vendor: Key Assumption(s): Vendors should add/use a separate row for each other cost item proposed.

6. Implementation Pricing Summary

6.1. Please complete the following table that should summarize all Implementation costs associated with your Proposal.

Appendix E: Table 6		
IMPLEMENTATION COST SUMMARY PRICING WORKSHEET		
COST TABLE #	COST TYPE	TOTAL COST
1	Activities/Deliverables/Milestones Pricing (Total from Activity/Deliverables/Milestones Pricing Worksheet)	
2	Hardware Pricing (Total from Hardware Pricing Worksheet)	
3	Software License Pricing (Total from Software License Pricing Worksheet)	
4	Software Operations, Maintenance, and Support Pricing (Total from Software Operations, Maintenance, and Support Pricing Worksheet)	
5	Hosting Pricing (Total from Hosting Detail Pricing Worksheet)	
6	Other Pricing (Total from Other Cost Pricing Worksheet)	
Grand Total		

7. Vendor Staff, Resource Hours and Rates Worksheet

7.1. Use the Vendor Staff Position, Resource Hours and Rates Worksheet to indicate the individuals who will be assigned to the Project, hours and applicable rates. Information is required by stage. Names must be provided for individuals designated for key roles, but titles are sufficient for others. This information is for reference purposes only and will not be taken into account during our price proposal scoring.

Appendix E: Table 7				
VENDOR STAFF, RESOURCE HOURS AND RATES PRICING WORKSHEET				
	PROJECT MANAGER	POSITION 1	POSITION 2	ETC.

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Planning And Project Management				
Installation				
Testing				
System Deployment				
Operations				
Total Hours				
Hourly Rate				
Vendor Resource Price Total (Hours X Rate)				

NOTE to Vendor: Key Assumption(s): Denote key roles by adding “(key)” to the ‘Name/Vendor’s Role’ column. Add as many rows as necessary to complete the full proposed team.

8. Total Cost By State Fiscal Year

8.1. Use the table below to list all cost listed above which must be totaled by State Fiscal Year.

Appendix E: Table 8					
TOTALS BY STATE FISCAL YEAR					
State Fiscal Year 2024 (G&C Approval – June 30, 2024)	State Fiscal Year 2025 (July 1, 2024 – June 30, 2025)	State Fiscal Year 2026 (July 1, 2025 – June 30, 2026)	State Fiscal Year 2027 (July 1, 2026 – June 30, 2027)	State Fiscal Year 2028 (July 1, 2027 – December 31, 2027)	Total

9. Future Vendor Rates

9.1. The State may request additional services from the selected Vendor and require rates in the event that additional services are required. The following format must be used to provide this information.

9.2. The New Hampshire State Fiscal Year (SFY) runs from July 1 of the preceding calendar year through June 30 of the applicable calendar year. This information is for reference purposes only and will not be taken into account during our price proposal scoring.

Appendix E: Table 9					
FUTURE VENDOR PRICING WORKSHEET					
VENDOR ROLE	SFY 2024	SFY 2025	SFY 2026	SFY 2027	SFY 2028

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Project Manager					
Position 1					
Position 2					
etc.					
Total					

NOTE to Vendor: Key Assumption(s): Denote key roles by adding “(key)” to the ‘Name/Vendor’s Role’ column. Add as many rows as necessary to complete the full proposed team.

10. Proposed State Staff Resource Hours

10.1. Use the Proposed State Staff Resource Hours Worksheet to indicate the State roles that will need to be assigned to the Project to support your proposed Implementation approach. Information is required by stages identified in the table below.

Appendix E: Table 10				
PROPOSED STATE STAFF, RESOURCE HOURS				
	PROJECT MANAGER	POSITION 1	POSITION 2	ETC.
Planning And Project Management				
Installation				
Testing				
System Deployment				
Operations				
Total Hours				

NOTE to Vendor: Key Assumption(s): Denote key roles by adding “(key)” to the ‘Name/Vendor’s Role’ column. Add as many rows as necessary to complete the full proposed team.

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APPENDIX F DOIT INFRASTRUCTURE & SECURITY

APPENDIX F: DOIT INFRASTRUCTURE & SECURITY

The Project will be conducted in cooperation with the New Hampshire Department of Information Technology (DoIT). DoIT coordinates the statewide Information Technology activities.

1. Technical Architecture

Components of the State's technical architecture include:

1.1. State Network Environment

1.1.1. The State of New Hampshire operates a Metropolitan-Area-Network (MAN) in the City of Concord, NH using a combination of leased and owned fiber optic cable. State of New Hampshire locations outside of the Concord, NH main facility are connected via multiple wide-area Networks using various technologies including Carrier Ethernet Services (CES), Microwave Wireless and Virtual Private Networks (VPN) Tunnels over the Internet. State Networks have varying levels of integration and connectivity to the statewide core for resource sharing and centralized administration by the State of Information Technology (DoIT). State agencies connect to the State's central core Network location in Concord to facilitate access to Email, the Internet, and the State's financial Applications. Direct support is provided for twenty-one partner agencies; other State agencies support their own Networks, out-source the support, or use the resources of another agency.

1.2. Internet Access

1.2.1. The State of New Hampshire has purchased thru American Registry for Internet Numbers (ARIN) its own External IP Address Range and Autonomous System Number. The State advertises its External IP Space and Autonomous System Number to two different Internet Service Providers so as to provide failover in the event of a single Internet Service Provider (ISP) Network failure.

1.3. VMware

1.3.1. The State uses VMware for Windows Server virtualization and virtual hosts are deployed at two separate State campus sites. VMware provides a highly scalable and high availability environment for the State's many Agencies. If a virtual host fails, VMware automatically fails over all of the virtual Servers on that host to another host. The EMC Networker product is used to manage backups for this environment utilizing Data Domain as the disk to disk repository.

1.4. Oracle

1.4.1. For the State's Oracle enterprise systems, an Oracle/Linux solution (OVM) is used for the virtual environment. Similar to the windows environment, this Solution provides a highly scalable and high availability environment and also utilizes the EMC Networker and Data Domain backup solution. Data Domain is also employed to meet the backup requirements within OVM.

1.5. Future Systems Environment

1.5.1. Future design and development efforts should conform to the emerging environment as defined by the New Hampshire Statewide Strategic Information Technology Plan.

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This environment is end user centric, utilizing the Internet and Web whenever possible, promoting electronic transactions, and centralized common services (security, e-Commerce), where possible.

1.6. Security

- 1.6.1. The State must ensure that appropriate levels of security are implemented and maintained in order to protect the integrity and reliability of its information technology resources, information, and services. State resources, information, and services must be available on an ongoing basis, with the appropriate infrastructure and security controls to ensure business continuity and safeguard State Networks, Systems, Data and other assets.
2. The State will evaluate the degree to which the proposed System is designed and architected to ensure compliance with Appendix I - Example Contract and Exhibits - Exhibit D: *DHHS Information Security Requirements*.

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APPENDIX G MERCENT CARD SERVICES

APPENDIX G: MERCHANT CARD SERVICES

1. The selected Vendor's proposed solution must:
 - 1.1. Be approved and validated by the PCI Security Standards Council as a PCI-listed Point-to-Point Encryption (P2PE) solution.
 - 1.2. Not require the State of New Hampshire to complete any PCI compliance requirements.
 - 1.3. Provide documented evidence from a PCI Qualified Security Assessor (QSA) validating the PCI compliance requirements that the State of New Hampshire must adhere to and/or complete.
 - 1.4. Comply with all credit card brand rules, as applicable (this includes the selected Vendor's environment). The selected Vendor will immediately notify and work with the State if any non-compliance issues occur to ensure proper remediation of non-compliance issues.
2. The selected Vendor must validate the proposed solution:
 - 2.1. Securely capture and transmits end-user credit and debit card information.
 - 2.2. Does not transmit, process, or store end-user credit and debit card information on any State of New Hampshire systems.
 - 2.3. Protects end-user credit and debit card information during transmission with strong encryption.
 - 2.4. Offers interactive voice payments (IVR) (i.e. automated telephone payments).
3. The selected Vendor must validate:
 - 3.1. Any sub-contractors installing the payment application and/or systems are a PCI Qualified Integrator or Reseller.
 - 3.2. That during the installation and/or setup of the solution, all vendor-support default passwords will be changed.
 - 3.3. That any patching and/or updates to the solution will be conducted by the selected Vendor, in coordination with and the approval of the State.
 - 3.4. They are PCI DSS service provider compliant as a requirement of this RFP and, if selected, the Vendor must provide the current status of Vendor's PCI DSS compliance, and evidence of its most recent validation of compliance upon execution of the Agreement. Vendor must supply to the State a PCI DSS Attestation of Compliance (AOC) at least annually and upon request for their service until contract termination.
- 3.5. The selected Vendor must:
 - 3.5.1. Adhere to any existing and/or future remote access policies established by NH DoIT and the State.
 - 3.5.2. Participate in the Payment Card Security Standards Council (PCI) Payment Application Data Security Standards program (PA DSS);
 - 3.5.3. Complete a PCI-DSS Self-Assessment Questionnaire (SAQ) upon the State's request;

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- 3.5.4. Disclose any Nested Third-Party Service Provider (TPSP) that is a part of the Cardholder Environment. The selected Vendor must document the Nested TPSP's allocation of liability, responsibility and costs relating to actions of outsourced contractors and/or notifying the Vendor regarding incidents. Annually, and upon request from the State, the selected Vendor must provide the State with an Attestation of Compliance (AOC) from the Nested Third Party Service Provider.
- 3.6. The selected Vendor is responsible for the security of all debit and credit Cardholder Data that it obtains or possesses, including but not limited to the functions relating to storing, processing, and transmitting the Cardholder Data;

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APPENDIX H TERMS AND DEFINITIONS

APPENDIX H: TERMS AND DEFINITIONS

The following general contracting terms and definitions apply except as specifically noted elsewhere in this document.

Term	Definition
Acceptance	Notice from the State that a Deliverable has satisfied Acceptance Test or Review.
Agreement	A Contract duly executed and legally binding.
Alternative Treatment Center (ATC)	Independently operated, not-for-profit entities responsible for the cultivation, production, and dispensing of therapeutic cannabis in New Hampshire. There are (4) four ATC licenses in the State.
Software Application	A request for a service, including primary applications and other application type requests.
Caregiver or Designated Caregiver	A person who has been designated by the qualifying patient to be their caregiver for the purposes of assisting with their therapeutic use of cannabis.
Commercial Off The Shelf Software	Software that is purchased from a vendor and is ready for use with no change.
Confidential Information or Confidential Data	The definition for this term is located in Appendix I- Example Contract And Exhibits - Exhibit D: DHHS Information Security Requirements.
Contract	An agreement between the State of New Hampshire and a Vendor which creates binding obligations for each party to perform as specified in the contract documents. Contract documents include the State P-37 General Provisions, and all Exhibits and attachments, which represent the understanding and acceptance of the reciprocal legal rights and duties of the parties with respect to the Scope of Work.
Contractor Confidential Information	Information the Contractor has clearly identified in writing to the State it claims to be confidential or proprietary.
Data	State records, files, forms, electronic information and other documents or information, in either electronic or paper form, that will be used /converted by the Vendor during the contract term, that may be defined as “Confidential Data” within Appendix I- Example Contract And Exhibits - Exhibit D: DHHS Information Security Requirements.
Data Breach	The definition for this term is located in Appendix I - Example Contract And Exhibits - Exhibit D: DHHS Information Security Requirements
Deficiency (-ies)/Defects	A failure, shortcoming or error in a Deliverable resulting in a Deliverable, the Software, or the System, not conforming to its Specifications.
Deliverable	A Deliverable is any Written, Software, or Non-Software Deliverable (letter, report, manual, book, code, or other), provided by the Contractor to the State or under the terms of a Contract requirement.
Documentation	All information that describes the installation, operation, and use of the Software, either in printed or electronic format.
Enhancements	Updates, additions, modifications to, and new releases for the Software or System, and all changes to the Documentation as a result of improvement in quality, value, or extent.

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Guardianship Patient	A patient who is 18 years old or older, who has a court-appointed legal guardian with powers of attorney for healthcare decisions who is their designated caregiver, who has been certified by a medical provider for the therapeutic use of cannabis.
Hosted Services	Applications, IT infrastructure components or functions that organizations access from external service providers, typically through an internet connection.
Hosted System	The combination of hardware, software and networking components used by the Application Service Provider to deliver the Hosted Services.
Identification and Authentication	Supports obtaining information about those parties attempting to log on to a system or application for security purposes and the validation of those users.
Implementation	The process for making the System fully Operational for processing the Data.
Infrastructure as a Service (IaaS)	The Contractor is responsible for ownership and management of the hardware that support the software, including servers, networking and storage.
Maintenance Period	The period following implementation. Must remain in effect until the conclusion or termination of the resulting contract, and any extensions.
Minor Patient	A patient who is under age 18, whose parent or guardian is their designated caregiver, and who has been certified by two different medical providers for the therapeutic use of cannabis.
Open Source Software	Software that guarantees the user unrestricted use of the Software as defined in RSA chapter 21-R:10 and RSA chapter 21-R:11.
Operational	Operational means that the System is ready for use and fully functional, all Data has been loaded; the System is available for use by the State in its daily operations, and the State has issued an Acceptance Letter.
Patient or Qualifying Patient	A person who has a qualifying medical condition who has been certified by a medical provider for the therapeutic use of cannabis.
Personal Information	The definition for this term is located in Appendix I - Example Contract And Exhibits - Exhibit D: DHHS Information Security Requirements
PMI	Project Management Institute
Project	The planned undertaking regarding the entire subject matter of an RFP and Contract and the activities of the parties related hereto.
Proposal	A written plan put forth by a Vendor for consideration in response to a solicitation by the State.
Provider –or - Medical Provider – or - Certifying Medical Provider	A licensed medical professional, limited to certain provider types and certain licensing states, who has certified a person to be a qualifying patient for the therapeutic use of cannabis.
Public User	An end user of the registry system who is a medical provider, a patient or caregiver (or applicant therefor), or an employee of an alternative treatment center.
Record	Means the collection of documentation of a registrant’s activity within the system.
Registrant	A patient, caregiver, or provider who has a record in the system, but does not need to be a “registered system user.”
Registered system user	A Public User who has a system account.
Security Incident	The definition for this term is located in Appendix I- Example Contract And Exhibits - Exhibit D: DHHS Information Security Requirements

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Services	The work or labor to be performed by the Vendor on the Project as described in a contract.
Software	All Custom, SAAS and/or COTS Software provided by the Vendor under the Contract.
Software Deliverables	All Custom, SAAS and/or COTS Software and Enhancements.
Software License	Licenses provided to the State under this Contract.
Software-as-a-Service (SaaS)	The capability provided to the State to use the Contractor’s applications running on a cloud infrastructure. The applications are accessible from various client devices through a thin-client interface such as a Web browser (e.g., Web-based email) or a program interface. The State does not manage or control the underlying cloud infrastructure including network, servers, Operating Systems, storage or even individual application capabilities, with the possible exception of limited user-specific application configuration settings.
Specifications	The written details that set forth the requirements which include, without limitation, this RFP, the Proposal, the Contract, any performance standards, Documentation, applicable State and federal policies, laws and regulations, State technical standards, subsequent State-approved Deliverables, and other specifications and requirements described in the Contract Documents. The Specifications are, by this reference, made a part of the Contract as though completely set forth herein.
State Data	All Data created or in any way originating with the State, and all Data that is the output of computer processing of or other electronic manipulation of any Data that was created by or in any way originated with the State, whether such Data or output is stored on the State’s hardware, the Contractor’s hardware or exists in any system owned, maintained or otherwise controlled by the State or by the Contractor not defined as “Confidential Data” within Appendix I- Example Contract And Exhibits - Exhibit D: DHHS Information Security Requirements
State Fiscal Year (SFY)	The New Hampshire State Fiscal Year (SFY) runs from July 1 of the preceding calendar year through June 30 of the applicable calendar year.
State User	An end user of the registry system who is a NH State employee.
Subcontractor	A person, partnership, or company not in the employment of, or owned by, the Vendor, which is performing Services under this Contract under a separate Contract with or on behalf of the Vendor.
Subscriptions	A signed Agreement between a supplier and the State that the State will receive and provide payment for regular products or services, for a set period of time identified within the Agreement.
Support Services	The maintenance and technical support services provided by Contractor to the State during the Term of the Contract.
System	All Software, specified hardware, and interfaces and extensions, integrated and functioning together in accordance with the Specifications.
User	Users of the registry system, includes State users and Public Users.
Verification	Supports the confirmation of authority to enter a computer system application or network.

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Warranty Period	A period of coverage during which the Vendor is responsible for providing a guarantee for products and Services delivered as defined in the Contract.
Work/Project Plan	Documentation that details the activities for the Project created in accordance with the Contract. The plan and delineation of tasks, activities and events to be performed and Deliverables to be produced under the Project as specified in Appendix B: <i>Business/Technical Requirements and Deliverables</i> . The Work/Project Plan must include a detailed description of the Schedule, tasks/activities, Deliverables, critical events, task dependencies, and the resources that would lead and/or participate on each task.

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APPENDIX I: EXAMPLE CONTRACT AND EXHIBITS (For Reference Only – do not complete)

APPENDIX I: EXAMPLE CONTRACT AND EXHIBITS

FORM NUMBER P-37 (version 2/23/2023)

Notice: This agreement and all of its attachments shall become public upon submission to Governor and Executive Council for approval. Any information that is private, confidential or proprietary must be clearly identified to the agency and agreed to in writing prior to signing the contract.

AGREEMENT

The State of New Hampshire and the Contractor hereby mutually agree as follows:

GENERAL PROVISIONS

1. IDENTIFICATION.

1.1 State Agency Name		1.2 State Agency Address	
1.3 Contractor Name		1.4 Contractor Address	
1.5 Contractor Phone Number	1.6 Account Unit and Class	1.7 Completion Date	1.8 Price Limitation
1.9 Contracting Officer for State Agency		1.10 State Agency Telephone Number	
1.11 Contractor Signature <div style="text-align: right;">Date:</div>		1.12 Name and Title of Contractor Signatory	
1.13 State Agency Signature <div style="text-align: right;">Date:</div>		1.14 Name and Title of State Agency Signatory	
1.15 Approval by the N.H. Department of Administration, Division of Personnel <i>(if applicable)</i> By: _____ Director, On: _____			
1.16 Approval by the Attorney General (Form, Substance and Execution) <i>(if applicable)</i> By: _____ On: _____			
1.17 Approval by the Governor and Executive Council <i>(if applicable)</i> G&C Item number: _____ G&C Meeting Date: _____			

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2. SERVICES TO BE PERFORMED. The State of New Hampshire, acting through the agency identified in block 1.1 (“State”), engages contractor identified in block 1.3 (“Contractor”) to perform, and the Contractor shall perform, the work or sale of goods, or both, identified and more particularly described in the attached EXHIBIT B which is incorporated herein by reference (“Services”).

3. EFFECTIVE DATE/COMPLETION OF SERVICES.

3.1 Notwithstanding any provision of this Agreement to the contrary, and subject to the approval of the Governor and Executive Council of the State of New Hampshire, if applicable, this Agreement, and all obligations of the parties hereunder, shall become effective on the date the Governor and Executive Council approve this Agreement, unless no such approval is required, in which case the Agreement shall become effective on the date the Agreement is signed by the State Agency as shown in block 1.13 (“Effective Date”).

3.2 If the Contractor commences the Services prior to the Effective Date, all Services performed by the Contractor prior to the Effective Date shall be performed at the sole risk of the Contractor, and in the event that this Agreement does not become effective, the State shall have no liability to the Contractor, including without limitation, any obligation to pay the Contractor for any costs incurred or Services performed.

3.3 Contractor must complete all Services by the Completion Date specified in block 1.7.

4. CONDITIONAL NATURE OF AGREEMENT.

Notwithstanding any provision of this Agreement to the contrary, all obligations of the State hereunder, including, without limitation, the continuance of payments hereunder, are contingent upon the availability and continued appropriation of funds. In no event shall the State be liable for any payments hereunder in excess of such available appropriated funds. In the event of a reduction or termination of appropriated funds by any state or federal legislative or executive action that reduces, eliminates or otherwise modifies the appropriation or availability of funding for this Agreement and the Scope for Services provided in EXHIBIT B, in whole or in part, the State shall have the right to withhold payment until such funds become available, if ever, and shall have the right to reduce or terminate the Services under this Agreement immediately upon giving the Contractor notice of such reduction or termination. The State shall not be required to transfer funds from any other account or source to the Account identified in block 1.6 in the event funds in that Account are reduced or unavailable.

5. CONTRACT PRICE/PRICE LIMITATION/PAYMENT.

5.1 The contract price, method of payment, and terms of payment are identified and more particularly described in EXHIBIT C which is incorporated herein by reference.

5.2 Notwithstanding any provision in this Agreement to the contrary, and notwithstanding unexpected circumstances, in no event shall the total of all payments authorized, or actually made hereunder, exceed the Price Limitation set forth in block 1.8. The payment by the State of the contract price shall be the only and the complete reimbursement to the Contractor for all expenses, of whatever nature incurred by the Contractor in the performance hereof, and shall be the only and the complete compensation to the Contractor for the Services.

5.3 The State reserves the right to offset from any amounts otherwise payable to the Contractor under this Agreement those liquidated amounts required or permitted by N.H. RSA 80:7 through RSA 80:7-c or any other provision of law.

5.4 The State’s liability under this Agreement shall be limited to monetary damages not to exceed the total fees paid. The Contractor agrees that it has an adequate remedy at law for any breach of this Agreement by the State and hereby waives any right to specific performance or other equitable remedies against the State.

6. COMPLIANCE BY CONTRACTOR WITH LAWS AND REGULATIONS/EQUAL EMPLOYMENT OPPORTUNITY.

6.1 In connection with the performance of the Services, the Contractor shall comply with all applicable statutes, laws, regulations, and orders of federal, state, county or municipal authorities which impose any obligation or duty upon the Contractor, including, but not limited to, civil rights and equal employment opportunity laws and the Governor’s order on Respect and Civility in the Workplace, Executive order 2020-01. In addition, if this Agreement is funded in any part by monies of the United States, the Contractor shall comply with all federal executive orders, rules, regulations and statutes, and with any rules, regulations and guidelines as the State or the United States issue to implement these regulations. The Contractor shall also comply with all applicable intellectual property laws.

6.2 During the term of this Agreement, the Contractor shall not discriminate against employees or applicants for employment because of age, sex, sexual orientation, race, color, marital status, physical or mental disability, religious creed, national origin, gender identity, or gender expression, and will take affirmative action to prevent such discrimination, unless exempt by state or federal law. The Contractor shall ensure any subcontractors comply with these nondiscrimination requirements.

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payments or transfers of value by Contractor or its representatives in connection with this Agreement have or shall be made which have the purpose or effect of public or commercial bribery, or acceptance of or acquiescence in extortion, kickbacks, or other unlawful or improper means of obtaining business.

6.4. The Contractor agrees to permit the State or United States access to any of the Contractor's books, records and accounts for the purpose of ascertaining compliance with this Agreement and all rules, regulations and orders pertaining to the covenants, terms and conditions of this Agreement.

7. PERSONNEL.

7.1 The Contractor shall at its own expense provide all personnel necessary to perform the Services. The Contractor warrants that all personnel engaged in the Services shall be qualified to perform the Services, and shall be properly licensed and otherwise authorized to do so under all applicable laws.

7.2 The Contracting Officer specified in block 1.9, or any successor, shall be the State's point of contact pertaining to this Agreement.

8. EVENT OF DEFAULT/REMEDIES.

8.1 Any one or more of the following acts or omissions of the Contractor shall constitute an event of default hereunder ("Event of Default"):

8.1.1 Failure to perform the Services satisfactorily or on schedule;

8.1.2 Failure to submit any report required hereunder; and/or

8.1.3 Failure to perform any other covenant, term or condition of this Agreement.

8.2 Upon the occurrence of any Event of Default, the State may take any one, or more, or all, of the following actions:

8.2.1 give the Contractor a written notice specifying the Event of Default and requiring it to be remedied within, in the absence of a greater or lesser specification of time, thirty (30) calendar days from the date of the notice; and if the Event of Default is not timely cured, terminate this Agreement, effective two (2) calendar days after giving the Contractor notice of termination;

8.2.2 give the Contractor a written notice specifying the Event of Default and suspending all payments to be made under this Agreement and ordering that the portion of the contract price which would otherwise accrue to the Contractor during the period from the date of such notice until such time as the State determines that the Contractor has cured the Event of Default shall never be paid to the Contractor;

8.2.3 give the Contractor a written notice specifying the Event of Default and set off against any other obligations the State may owe to the Contractor any damages the State suffers by reason of any Event of Default; and/or

8.2.4 give the Contractor a written notice specifying the Event of Default, treat the Agreement as breached, terminate the Agreement and pursue any of its remedies at law or in equity, or both.

9. TERMINATION.

9.1 Notwithstanding paragraph 8, the State may, at its sole discretion, terminate the Agreement for any reason, in whole or in part, by thirty (30) calendar day's written notice to the Contractor that the State is exercising its option to terminate the Agreement.

9.2 In the event of an early termination of this Agreement for any reason other than the completion of the Services, the Contractor shall, at the State's discretion, deliver to the Contracting Officer, not later than fifteen (15) calendar days after the date of termination, a report ("Termination Report") describing in detail all Services performed, and the contract price earned, to and including the date of termination. In addition, at the State's discretion, the Contractor shall, within fifteen (15) calendar days of notice of early termination, develop and submit to the State a transition plan for Services under the Agreement.

10. PROPERTY OWNERSHIP/DISCLOSURE.

10.1 As used in this Agreement, the word "Property" shall mean all data, information and things developed or obtained during the performance of, or acquired or developed by reason of, this Agreement, including, but not limited to, all studies, reports, files, formulae, surveys, maps, charts, sound recordings, video recordings, pictorial reproductions, drawings, analyses, graphic representations, computer programs, computer printouts, notes, letters, memoranda, papers, and documents, all whether finished or unfinished.

10.2 All data and any Property which has been received from the State, or purchased with funds provided for that purpose under this Agreement, shall be the property of the State, and shall be returned to the State upon demand or upon termination of this Agreement for any reason.

10.3 Disclosure of data, information and other records shall be governed by N.H. RSA chapter 91-A and/or other applicable law. Disclosure requires prior written approval of the State.

11. CONTRACTOR'S RELATION TO THE STATE.

In the performance of this Agreement the Contractor is in all respects an independent contractor, and is neither an agent nor an employee of the State. Neither the Contractor nor any of its officers, employees, agents or members shall have

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authority to bind the State or receive any benefits, workers' compensation or other emoluments provided by the State to its employees.

12. ASSIGNMENT/DELEGATION/SUBCONTRACTS.

12.1 Contractor shall provide the State written notice at least fifteen (15) calendar days before any proposed assignment, delegation, or other transfer of any interest in this Agreement. No such assignment, delegation, or other transfer shall be effective without the written consent of the State.

12.2 For purposes of paragraph 12, a Change of Control shall constitute assignment. "Change of Control" means (a) merger, consolidation, or a transaction or series of related transactions in which a third party, together with its affiliates, becomes the direct or indirect owner of fifty percent (50%) or more of the voting shares or similar equity interests, or combined voting power of the Contractor, or (b) the sale of all or substantially all of the assets of the Contractor.

12.3 None of the Services shall be subcontracted by the Contractor without prior written notice and consent of the State.

12.4 The State is entitled to copies of all subcontracts and assignment agreements and shall not be bound by any provisions contained in a subcontract or an assignment agreement to which it is not a party.

13. INDEMNIFICATION. The Contractor shall indemnify, defend, and hold harmless the State, its officers, and employees from and against all actions, claims, damages, demands, judgments, fines, liabilities, losses, and other expenses, including, without limitation, reasonable attorneys' fees, arising out of or relating to this Agreement directly or indirectly arising from death, personal injury, property damage, intellectual property infringement, or other claims asserted against the State, its officers, or employees caused by the acts or omissions of negligence, reckless or willful misconduct, or fraud by the Contractor, its employees, agents, or subcontractors. The State shall not be liable for any costs incurred by the Contractor arising under this paragraph 13. Notwithstanding the foregoing, nothing herein contained shall be deemed to constitute a waiver of the State's sovereign immunity, which immunity is hereby reserved to the State. This covenant in paragraph 13 shall survive the termination of this Agreement.

14. INSURANCE.

14.1 The Contractor shall, at its sole expense, obtain and continuously maintain in force, and shall require any

subcontractor or assignee to obtain and maintain in force, the following insurance:

14.1.1 commercial general liability insurance against all claims of bodily injury, death or property damage, in amounts of not less than \$1,000,000 per occurrence and \$2,000,000 aggregate or excess; and

14.1.2 special cause of loss coverage form covering all Property subject to subparagraph 10.2 herein, in an amount not less than 80% of the whole replacement value of the Property.

14.2 The policies described in subparagraph 14.1 herein shall be on policy forms and endorsements approved for use in the State of New Hampshire by the N.H. Department of Insurance, and issued by insurers licensed in the State of New Hampshire.

14.3 The Contractor shall furnish to the Contracting Officer identified in block 1.9, or any successor, a certificate(s) of insurance for all insurance required under this Agreement. At the request of the Contracting Officer, or any successor, the Contractor shall provide certificate(s) of insurance for all renewal(s) of insurance required under this Agreement. The certificate(s) of insurance and any renewals thereof shall be attached and are incorporated herein by reference.

15. WORKERS' COMPENSATION.

15.1 By signing this agreement, the Contractor agrees, certifies and warrants that the Contractor is in compliance with or exempt from, the requirements of N.H. RSA chapter 281-A ("*Workers' Compensation*").

15.2 To the extent the Contractor is subject to the requirements of N.H. RSA chapter 281-A, Contractor shall maintain, and require any subcontractor or assignee to secure and maintain, payment of Workers' Compensation in connection with activities which the person proposes to undertake pursuant to this Agreement. The Contractor shall furnish the Contracting Officer identified in block 1.9, or any successor, proof of Workers' Compensation in the manner described in N.H. RSA chapter 281-A and any applicable renewal(s) thereof, which shall be attached and are incorporated herein by reference. The State shall not be responsible for payment of any Workers' Compensation premiums or for any other claim or benefit for Contractor, or any subcontractor or employee of Contractor, which might arise under applicable State of New Hampshire Workers' Compensation laws in connection with the performance of the Services under this Agreement.

16. WAIVER OF BREACH. A State's failure to enforce its rights with respect to any single or continuing breach of this Agreement shall not act as a waiver of the right of the State to later enforce any such rights or to enforce any other or any subsequent breach.

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17. NOTICE. Any notice by a party hereto to the other party shall be deemed to have been duly delivered or given at the time of mailing by certified mail, postage prepaid, in a United States Post Office addressed to the parties at the addresses given in blocks 1.2 and 1.4, herein.

18. AMENDMENT. This Agreement may be amended, waived or discharged only by an instrument in writing signed by the parties hereto and only after approval of such amendment, waiver or discharge by the Governor and Executive Council of the State of New Hampshire unless no such approval is required under the circumstances pursuant to State law, rule or policy.

19. CHOICE OF LAW AND FORUM.

19.1 This Agreement shall be governed, interpreted and construed in accordance with the laws of the State of New Hampshire except where the Federal supremacy clause requires otherwise. The wording used in this Agreement is the wording chosen by the parties to express their mutual intent, and no rule of construction shall be applied against or in favor of any party.

19.2 Any actions arising out of this Agreement, including the breach or alleged breach thereof, may not be submitted to binding arbitration, but must, instead, be brought and maintained in the Merrimack County Superior Court of New Hampshire which shall have exclusive jurisdiction thereof.

20. CONFLICTING TERMS. In the event of a conflict between the terms of this P-37 form (as modified in EXHIBIT A) and any other portion of this Agreement including any attachments thereto, the terms of the P-37 (as modified in EXHIBIT A) shall control.

21. THIRD PARTIES. This Agreement is being entered into for the sole benefit of the parties hereto, and nothing herein, express or implied, is intended to or will confer any legal or equitable right, benefit, or remedy of any nature upon any other person.

22. HEADINGS. The headings throughout the Agreement are for reference purposes only, and the words contained therein shall in no way be held to explain, modify, amplify or aid in the interpretation, construction or meaning of the provisions of this Agreement.

23. SPECIAL PROVISIONS. Additional or modifying provisions set forth in the attached EXHIBIT A are incorporated herein by reference.

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Exhibit A - REVISIONS TO STANDARD CONTRACT PROVISIONS

1. The terms outlined in the P-37 General Provisions are modified as set forth below:

1.1. Provision 3, Effective Date/Completion of Services, is updated with the following addition:

3.3 The Term may be extended up to four (4) year(s), (“Extended Term”) at the sole option of the State, subject to the parties prior written Agreement on applicable fees for each extended Term, subject to approval of the Governor and Executive Council.

1.2. Provision 5, Contract Price/Price Limitation/ Payment, is updated with the following addition:

1.5 The State’s liability under this Agreement shall be limited to monetary damages not to exceed the contract price pursuant to Paragraph 5.2. The Contractor agrees that it has an adequate remedy at law for any breach of this Agreement by the State and hereby waives any right to specific performance or other equitable remedies against the State. Subject to applicable laws and regulations, in no event shall the State be liable for any consequential, special, indirect, incidental, punitive, or exemplary damages. Notwithstanding the foregoing, nothing herein contained shall be deemed to constitute a waiver of the sovereign immunity of the State, which immunity is hereby reserved to the State.

1.3. Provision 8, Event of Default/Remedies, is updated with the following addition:

8.2.5 give the Contractor a written notice specifying the event of Default, terminate the agreement as breached, and procure Services that are the subject of the Contract from another source and The Contractor must be liable for reimbursing the State for the replacement Services, and all administrative costs directly related to the replacement of the Contract and procuring the Services from another source, such as costs of competitive bidding, mailing, advertising, applicable fees, charges or penalties, and staff time costs; all of which shall be subject to the limitations of liability set forth in the Contract.

1.4. Provision 9, Termination, is deleted and replaced with the following:

9. TERMINATION

9.1 Notwithstanding paragraph 8, the State may, at its sole discretion, and with written notice, terminate the Agreement for any reason, in whole or in part. In the event of such termination, The Contractor must immediately stop all work hereunder and shall immediately cause any and all of its suppliers and subcontractors to cease work. The State shall be liable for cost of all Services and Deliverables for which Acceptance has been given by the State, provided through the date of termination but will not be liable for any costs for incomplete Services or winding down the Contract activities. The Contractor must not be paid for any work performed or costs incurred which reasonably could have been avoided.

9.2 Termination Procedure

9.2.1 Upon termination of the Contract, the State, in addition to any other rights provided in the Contract, may require Contractor to deliver to the State any

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property, including without limitation, Software and Written Deliverables, for such part of the Contract as has been terminated.

9.2.2 After receipt of a notice of termination, and except as otherwise directed by the State, Contractor shall:

- a.** Stop work under the Contract on the date, and to the extent specified, in the notice;
- b.** Promptly, but in no event longer than ten (10) days after termination, terminate its orders and subcontracts related to the work which has been terminated, and settle all outstanding liabilities and all claims arising out of such termination of orders and subcontracts, with the approval or ratification of the State to the extent required, which approval or ratification shall be final for the purpose of this Section;
- c.** Take such action as the State directs, or as necessary to preserve and protect the property related to the Contract which is in the possession of Contractor and in which the State has an interest;
- d.** Take no action to intentionally erase or destroy any State Data, which includes State Data held by the Contractor’s subcontractors;
- e.** Transfer title to the State and deliver in the manner, at the times, and to the extent directed by the State, any property which is required to be furnished to the State and which has been accepted or requested by the State;
- f.** Work with the State to develop a Services and Data Transition Plan per the “Contract End-of-Life Transition” requirements within this Contract; and
- g.** Provide written Certification to the State that Contractor has surrendered to the State all said property.

9.2.3 If the Contract has expired, or terminated prior to the Completion Date, for any reason, The Contractor must provide, for a period up to ninety (90) days after the expiration or termination, all transition services requested by the State, at no additional cost, to allow for the expired or terminated portion of the Services to continue without interruption or adverse effect, and to facilitate the orderly transfer of such Services to the State or its designees (“Transition Services”).

9.2.4 This covenant in paragraph 9 shall survive the termination of this Contract.

1.5. Provision 10, Property Ownership/Disclosure, is updated with the following addition:

10.2 All data and any Property which has been received from the State, or purchased with funds provided for that purpose under this Agreement, shall be the property of the State, and shall be returned to the State upon demand or upon termination of this Agreement for any reason. The data must be returned to the State in a manner and format agreeable to the State

10.4 In performing its obligations under this Agreement, Contractor may gain access to Confidential Information of the State. Confidential Information is defined in Exhibit I, Attachment 2 – Exhibit E: *DHHS Information Security Requirements*.

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10.4.1 In the event of the unauthorized release of Confidential Information, Contractor shall immediately notify the State’s Chief Information Security Officer, and the State may immediately be entitled to pursue any remedy at law and in equity, including, but not limited to, injunctive relief.

10.5 Subject to applicable federal or State laws and regulations, Confidential Information shall not include information which:

- a. shall have otherwise become publicly available other than as a result of disclosure by the receiving Party in breach hereof;
- b. was disclosed to the receiving Party on a non-confidential basis from a source other than the disclosing Party, which the receiving Party believes is not prohibited from disclosing such information as a result of an obligation in favor of the disclosing Party;
- c. is disclosed with the written consent of the disclosing Party’s Privacy Officer or designee.
- d. is disclosed with the written consent of the disclosing Party.

10.6 A receiving Party also may disclose the disclosing Party’s Confidential Information to the extent required by law or an order of a court of competent jurisdiction. Any disclosure of the Confidential Information shall require the prior written approval of the State. Contractor shall immediately notify the State if any request, subpoena or other legal process is served upon Contractor regarding the Confidential Information, and Contractor shall cooperate with the State in any effort the State undertakes to contest the request, subpoena or other legal process, at no additional cost to the State.

10.7 Contractor Confidential Information. Contractor shall clearly identify in writing all information it claims to be confidential or proprietary upon providing such information to the State. For the purposes of complying with its legal obligations, the State is under no obligation to accept the Contractor’s designation of material as confidential. Contractor acknowledges that the State is subject to State and federal laws governing disclosure of information including, but not limited to, RSA Chapter 91-A. In the event the State receives a request for the information identified by Contractor as confidential, the State shall notify Contractor and specify the date the State will be releasing the requested information. At the request of the State, Contractor shall cooperate and assist the State with the collection and review of Contractor’s information, at no additional expense to the State. Any effort to prohibit or enjoin the release of the information shall be Contractor’s sole responsibility and at Contractor’s sole expense. If Contractor fails to obtain a court order enjoining the disclosure, the State shall release the information on the date specified in the State’s notice to Contractor, without any liability to the State.

10.8 This covenant in paragraph 10 shall survive the termination of this Contract.

1.6. Provision 12, Assignment/Delegation/Subcontracts, is updated with the following addition:

12.3 Subcontractors are subject to the same contractual conditions as the Contractor and the Contractor is responsible to ensure subcontractor compliance with those conditions. The Contractor must have written agreements with all subcontractors, specifying the work to be performed, and if applicable, a Business Associate Agreement, or other agreement, in

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accordance with the Health Insurance Portability and Accountability Act. Written agreements shall specify how corrective action shall be managed. The Contractor must manage the subcontractor's performance on an ongoing basis and take corrective action as necessary. The Contractor must annually provide the State with a list of all subcontractors provided for under this Agreement and notify the State of any inadequate subcontractor performance. Failure to enter into Business Associate Agreements, or other agreement, with its subcontractors that create or receive protected health information on the behalf of the State through this Contract, and failure to comply with the implementation specifications for such agreements is a direct HIPAA violation by the Contractor.

- 12.4** In the event that Contractor should change ownership for any reason whatsoever that results in a change of control of the Contractor, the State shall have the option of:
- a. continuing under the Agreement with Contractor, its successors or assigns for the full remaining Term of the Agreement or for such period of time as determined necessary by the State; or
 - b. immediately terminate the Agreement without liability to or further compensation owed to Contractor, its successors or assigns.

1.7. The following Provisions are added and made part of the P37:

25. FORCE MAJEURE

- 25.1** Neither Contractor nor the State shall be responsible for delays or failures in performance resulting from events beyond the control of such Party and without fault or negligence of such Party. Such events shall include, but not be limited to, acts of God, strikes, lock outs, riots, and acts of War, epidemics, acts of Government, fire, power failures, nuclear accidents, earthquakes, and unusually severe weather.
- 25.2** Except in the event of the foregoing, Force Majeure events shall not include the Contractor's inability to hire or provide personnel needed for the Contractor's performance under the Contract.

26. EXHIBITS/ATTACHMENTS

The Exhibits and Attachments referred to in and attached to the Contract are incorporated by reference as if fully included in the text of the Contract.

27. NON-EXCLUSIVE CONTRACT

The State reserves the right, at its discretion, to retain other vendors to provide any of the Services or Deliverables identified under this Agreement. Contractor shall make best efforts to coordinate work with all other State vendors performing Services which relate to the work or Deliverables set forth in the Agreement. The State intends to use, whenever possible, existing Software and hardware contracts to acquire supporting Software and hardware.

28. GOVERNMENT APPROVALS

Contractor shall obtain all necessary and applicable regulatory or other governmental approvals necessary to perform its obligations under the Contract.

29. ORDER OF PRECEDENCE

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In the event of conflict or ambiguity among any of the text within the awarded Agreement, the following Order of Precedence shall govern:

- i. State of New Hampshire, Department of Health and Human Services Contract Agreement.
- ii. State of New Hampshire, Department of Health and Human Services RFP.
- iii.
- iv. Contractor Proposal

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EXHIBIT B – SCOPE OF SERVICES

To be drafted in accordance with the selected Vendor's proposal, as negotiated with the Department through the procurement process.

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EXHIBIT C – PAYMENT TERMS

To be drafted in accordance with the selected Vendor's proposal, as negotiated with the Department through the procurement process.

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EXHIBIT D CERTIFICATION REGARDING DRUG-FREE WORKPLACE
REQUIREMENTS

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 et seq.), and further agrees to have the Contractor’s representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

ALTERNATIVE I - FOR CONTRACTORS OTHER THAN INDIVIDUALS

US DEPARTMENT OF HEALTH AND HUMAN SERVICES - CONTRACTORS

US DEPARTMENT OF EDUCATION - CONTRACTORS

US DEPARTMENT OF AGRICULTURE - CONTRACTORS

This certification is required by the regulations implementing Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 et seq.). The January 31, 1989 regulations were amended and published as Part II of the May 25, 1990 Federal Register (pages 21681-21691), and require certification by contractors (and by inference, sub-grantees and sub-contractors), prior to award, that they will maintain a drug-free workplace. Section 3017.630(c) of the regulation provides that a contractor (and by inference, sub-grantees and sub-contractors) that is a State may elect to make one certification to the Department in each federal fiscal year in lieu of certificates for each grant during the federal fiscal year covered by the certification. The certificate set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government wide suspension or debarment. Grantees using this form should send it to:

Commissioner

NH Department of Health and Human Services 129 Pleasant Street, Concord, NH 03301-6505

1. The Contractor certifies that it will or will continue to provide a drug-free workplace by:
 - 1.1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Contractor’s workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - 1.2. Establishing an ongoing drug-free awareness program to inform employees about
 - 1.2.1. The dangers of drug abuse in the workplace;
 - 1.2.2. The Contractor’s policy of maintaining a drug-free workplace;
 - 1.2.3. Any available drug counseling, rehabilitation, and employee assistance programs; and
 - 1.2.4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - 1.3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - 1.4. Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - 1.4.1. Abide by the terms of the statement; and
 - 1.4.2. Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such

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- conviction;
- 1.5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 1.4.2 from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
 - 1.6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 1.4.2, with respect to any employee who is so convicted
 - 1.6.1. Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - 1.6.2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
 - 1.7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1.1, 1.2, 1.3, 1.4, 1.5, and 1.6.
2. The Contractor may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant.

Place of Performance (street address, city, county, state, zip code) (list each location)

Check if there are workplaces on file that are not identified here.

Contractor signatures will be obtained.

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EXHIBIT E CERTIFICATION REGARDING LOBBYING

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of Section 319 of Public Law 101-121, Government wide Guidance for New Restrictions on Lobbying, and 31 U.S.C. 1352, and further agrees to have the Contractor’s representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

US DEPARTMENT OF HEALTH AND HUMAN SERVICES – CONTRACTORS
US DEPARTMENT OF EDUCATION - CONTRACTORS
US DEPARTMENT OF AGRICULTURE - CONTRACTORS

Programs (indicate applicable program covered):

- *Temporary Assistance to Needy Families under Title IV-A
- *Child Support Enforcement Program under Title IV-D
- *Social Services Block Grant Program under Title XX
- *Medicaid Program under Title XIX
- *Community Services Block Grant under Title VI
- *Child Care Development Block Grant under Title IV

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement (and by specific mention sub-grantee or sub-contractor).
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement (and by specific mention sub-grantee or sub-contractor), the undersigned shall complete and submit Standard Form LLL, (Disclosure Form to Report Lobbying, in accordance with its instructions, attached and identified as Standard Exhibit E-1.)
3. The undersigned shall require that the language of this certification be included in the award document for sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Contractor signatures will be obtained.

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EXHIBIT F CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of Executive Office of the President, Executive Order 12549 and 45 CFR Part 76 regarding Debarment, Suspension, and Other Responsibility Matters, and further agrees to have the Contractor’s representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

INSTRUCTIONS FOR CERTIFICATION

By signing and submitting this grant agreement, the prospective primary participant is providing the certification set out below.

The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. If necessary, the prospective participant shall submit an explanation of why it cannot provide the certification. The certification or explanation will be considered in connection with the NH Department of Health and Human Services’ (State) determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

The certification in this clause is a material representation of fact upon which reliance was placed when the State determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the State may terminate this transaction for cause or default.

The prospective primary participant shall provide immediate written notice to the State agency to whom this grant agreement is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” “lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntarily excluded,” as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549: 45 CFR Part 76. See the attached definitions.

The prospective primary participant agrees by submitting this grant agreement that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the State.

The prospective primary participant further agrees by submitting this proposal that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion

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- Lower Tier Covered Transactions,” provided by the State, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or involuntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List (of excluded parties).

Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, the State may terminate this transaction for cause or default.

PRIMARY COVERED TRANSACTIONS

The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

have not within a three-year period preceding this proposal (grant agreement) been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or a contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

are not presently indicted for otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (l)(b) of this certification; and

have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal (grant agreement).

LOWER TIER COVERED TRANSACTIONS

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By signing and submitting this lower tier proposal (grant agreement), the prospective lower tier participant, as defined in 45 CFR Part 76, certifies to the best of its knowledge and belief that it and its principals:

are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

where the prospective lower tier participant is unable to certify to any of the above, such prospective participant shall attach an explanation to this proposal (grant agreement).

The prospective lower tier participant further agrees by submitting this proposal (grant agreement) that it will include this clause entitled “Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tier Covered Transactions,” without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

Contractor signatures will be obtained.

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**EXHIBIT G CERTIFICATION OF COMPLIANCE WITH REQUIREMENTS
PERTAINING TO FEDERAL NONDISCRIMINATION, EQUAL TREATMENT OF
FAITH-BASED ORGANIZATIONS AND WHISTLEBLOWER PROTECTIONS**

The Contractor identified in Section 1.3 of the General Provisions agrees by signature of the Contractor's representative as identified in Sections 1.11 and 1.12 of the General Provisions, to execute the following certification:

Contractor will comply, and will require any subgrantees or subcontractors to comply, with any applicable federal nondiscrimination requirements, which may include:

- the Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. Section 3789d) which prohibits recipients of federal funding under this statute from discriminating, either in employment practices or in the delivery of services or benefits, on the basis of race, color, religion, national origin, and sex. The Act requires certain recipients to produce an Equal Employment Opportunity Plan;
- the Juvenile Justice Delinquency Prevention Act of 2002 (42 U.S.C. Section 5672(b)) which adopts by reference, the civil rights obligations of the Safe Streets Act. Recipients of federal funding under this statute are prohibited from discriminating, either in employment practices or in the delivery of services or benefits, on the basis of race, color, religion, national origin, and sex. The Act includes Equal Employment Opportunity Plan requirements;
- the Civil Rights Act of 1964 (42 U.S.C. Section 2000d, which prohibits recipients of federal financial assistance from discriminating on the basis of race, color, or national origin in any program or activity);
- the Rehabilitation Act of 1973 (29 U.S.C. Section 794), which prohibits recipients of Federal financial assistance from discriminating on the basis of disability, in regard to employment and the delivery of services or benefits, in any program or activity;
- the Americans with Disabilities Act of 1990 (42 U.S.C. Sections 12131-34), which prohibits discrimination and ensures equal opportunity for persons with disabilities in employment, State and local government services, public accommodations, commercial facilities, and transportation;
- the Education Amendments of 1972 (20 U.S.C. Sections 1681, 1683, 1685-86), which prohibits discrimination on the basis of sex in federally assisted education programs;
- the Age Discrimination Act of 1975 (42 U.S.C. Sections 6106-07), which prohibits discrimination on the basis of age in programs or activities receiving Federal financial assistance. It does not include employment discrimination;
- 28 C.F.R. pt. 31 (U.S. Department of Justice Regulations – OJJDP Grant Programs); 28 C.F.R. pt. 42 (U.S. Department of Justice Regulations – Nondiscrimination; Equal Employment Opportunity; Policies and Procedures); Executive Order No. 13279 (equal protection of the laws for faith-based and community organizations); Executive Order No. 13559, which provide fundamental principles and policy-making criteria for partnerships with faith-based and neighborhood organizations;
- 28 C.F.R. pt. 38 (U.S. Department of Justice Regulations – Equal Treatment for Faith-Based Organizations); and Whistleblower protections 41 U.S.C. §4712 and The National Defense Authorization Act (NDAA) for Fiscal Year 2013 (Pub. L. 112-239, enacted January 2, 2013) the Pilot Program for Enhancement of Contract Employee Whistleblower Protections, which protects employees against

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reprisal for certain whistle blowing activities in connection with federal grants and contracts.

The certificate set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government wide suspension or debarment.

In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, or sex against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, to the applicable contracting agency or division within the Department of Health and Human Services, and to the Department of Health and Human Services Office of the Ombudsman.

The Contractor identified in Section 1.3 of the General Provisions agrees by signature of the Contractor's representative as identified in Sections 1.11 and 1.12 of the General Provisions, to execute the following certification:

Contractor signatures will be obtained.

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EXHIBIT H CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103-227, Part C - Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity.

The Contractor identified in Section 1.3 of the General Provisions agrees, by signature of the Contractor's representative as identified in Section 1.11 and 1.12 of the General Provisions, to execute the following certification:

1. By signing and submitting this grant agreement, the Contractor agrees to make reasonable efforts to comply with all applicable provisions of Public Law 103-227, Part C, known as the Pro-Children Act of 1994.

Contractor signatures will be obtained.

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**APPENDIX I HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY
ACT BUSINESS ASSOCIATE AGREEMENT**

The Contractor identified in Section 1.3 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 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 State of New Hampshire, Department of Health and Human Services.

(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. “Business Associate” has the meaning given such term in section 160.103 of Title 45, Code of Federal Regulations.
- c. “Covered Entity” has the meaning given such term in section 160.103 of Title 45, Code of Federal Regulations.
- d. “Designated Record Set” shall have the same meaning as the term “designated record set” in 45 CFR Section 164.501.
- e. “Data Aggregation” shall have the same meaning as the term “data aggregation” in 45 CFR Section 164.501.
- f. “Health Care Operations” shall have the same meaning as the term “health care operations” in 45 CFR Section 164.501.
- g. “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.
- h. “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 and amendments thereto.
- i. “Individual” shall have the same meaning as the term “individual” in 45 CFR Section 160.103 and shall include a person who qualifies as a personal representative in accordance with 45 CFR Section 164.501(g).
- j. “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.
- k. “Protected Health Information” shall have the same meaning as the term “protected health information” in 45 CFR Section 160.103, limited to the information created or received by Business Associate from or on behalf of Covered Entity.
- l. “Required by Law” shall have the same meaning as the term “required by law” in 45 CFR Section 164.103.
- m. “Secretary” shall mean the Secretary of the Department of Health and Human Services or his/her designee.

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n. “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.

o. “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.

p. 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) Business Associate 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, Business Associate, including but not limited to all its directors, officers, employees and agents, shall 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 the HIPAA Privacy, Security, and Breach Notification Rules 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.

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 security safeguards.

(3) Obligations and Activities of Business Associate.

a. The Business Associate shall notify the Covered Entity’s Privacy Officer immediately after 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.

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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:

- o The nature and extent of the protected health information involved, including the types of identifiers and the likelihood of re-identification;
- o The unauthorized person used the protected health information or to whom the disclosure was made;
- o Whether the protected health information was actually acquired or viewed
- o The extent to which the risk to the protected health information has been mitigated.

The Business Associate shall complete the risk assessment within 48 hours of the breach and immediately report the findings of the risk assessment in writing to the Covered Entity.

c. The Business Associate shall comply with all 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 (l). The Covered Entity shall be considered a direct third party beneficiary of the Contractor's business associate agreements, or other agreement, 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 Paragraph #13 of the standard contract provisions (P-37) 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

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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 Paragraph 10 of the standard terms and conditions (P-37) 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, or other agreement, set forth herein as Appendix 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, amended from time to time. A

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reference in the Agreement, as amended to include this Appendix 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.

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.

e. Segregation. If any term or condition of this Appendix 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 Appendix I are declared severable.

f. Survival. Provisions in this Appendix I regarding the use and disclosure of PHI, return or destruction of PHI, extensions of the protections of the Agreement in section (3) l, the defense and indemnification provisions of section (3) e and Paragraph 13 of the standard terms and conditions (P-37), shall survive the termination of the Agreement.

Contractor signatures will be obtained.

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EXHIBIT J CERTIFICATION REGARDING THE FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT (FFATA) COMPLIANCE

The Federal Funding Accountability and Transparency Act (FFATA) requires prime awardees of individual Federal grants equal to or greater than \$25,000 and awarded on or after October 1, 2010, to report on data related to executive compensation and associated first-tier sub-grants of \$25,000 or more. If the initial award is below \$25,000 but subsequent grant modifications result in a total award equal to or over \$25,000, the award is subject to the FFATA reporting requirements, as of the date of the award.

In accordance with 2 CFR Part 170 (Reporting Subaward and Executive Compensation Information), the Department of Health and Human Services (State) must report the following information for any subaward or contract award subject to the FFATA reporting requirements:

1. Name of entity
2. Amount of award
3. Funding agency
4. NAICS code for contracts / CFDA program number for grants
5. Program source
6. Award title descriptive of the purpose of the funding action
7. Location of the entity
8. Principle place of performance
9. Unique identifier of the entity (UEI#)
10. Total compensation and names of the top five executives if:
 - 10.1. More than 80% of annual gross revenues are from the Federal government, and those revenues are greater than \$25M annually and
 - 10.2. Compensation information is not already available through reporting to the SEC.

Prime grant recipients must submit FFATA required data by the end of the month, plus 30 days, in which the award or award amendment is made.

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of The Federal Funding Accountability and Transparency Act, Public Law 109-282 and Public Law 110-252, and 2 CFR Part 170 (Reporting Subaward and Executive Compensation Information), and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

The below named Contractor agrees to provide needed information as outlined above to the NH Department of Health and Human Services and to comply with all applicable provisions of the Federal Financial Accountability and Transparency Act.

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As the Contractor identified in Section 1.3 of the General Provisions, I certify that the responses to the below listed questions are true and accurate.

1. The UEI (SAM.gov) number for your entity is: _____
2. In your business or organization's preceding completed fiscal year, did your business or organization receive (1) 80 percent or more of your annual gross revenue in U.S. federal contracts, subcontracts, loans, grants, sub-grants, and/or cooperative agreements; and (2) \$25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements?

___ NO ___ YES

If the answer to #2 above is NO, stop here

If the answer to #2 above is YES, please answer the following:

3. Does the public have access to information about the compensation of the executives in your business or organization through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C.78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986?

___ NO ___ YES

If the answer to #3 above is YES, stop here

If the answer to #3 above is NO, please answer the following:

4. The names and compensation of the five most highly compensated officers in your business or organization:

Contractor signatures will be obtained.

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

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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 State 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 STATE 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 request for disclosure on the basis that it is required by law, in response to a subpoena, etc., without first notifying the State so that the State has an opportunity to consent or object to the disclosure.
3. If the State notifies the Contractor that the State 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 State 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 State Data obtained under this Contract may not be used for any other

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purposes that are not indicated in this Contract.

6. The Contractor agrees to grant access to the data to the authorized representatives of the State 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 State 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 State 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 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

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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 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.

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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 State 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.).
 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), or other agreement, with the Department and is responsible for maintaining compliance with the agreement.

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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 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), State 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/doit/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 will notify the State's Privacy Officer and the State's Security Officer of any security breach immediately, at the email addresses provided in Section VI. 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 State Data to perform their official duties in connection with purposes identified in this Contract.
16. The Contractor must ensure that all End Users:

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- a. comply with such safeguards as referenced in Section IV A. above, implemented to protect Confidential Information that is furnished by the State 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.
- 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 State 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. The State 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 and Security Officer of any Security Incidents and Breaches immediately, at the email addresses provided in Section VI.

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;

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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 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. Department Privacy Officer:

DHHSPrivacyOfficer@dhhs.nh.gov

B. Department Security Officer:

DHHSInformationSecurityOffice@dhhs.nh.gov

Contractor signatures will be obtained.

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