



# MNsure Grant Services Contract with Tribal Nation Navigator/In-Person Assister Attachment B State of Minnesota

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This Attachment sets forth the terms and conditions in which State will share data with and permit Tribe to Use or disclose Protected Information that the parties are legally required to safeguard pursuant to the Minnesota Data Practices Act under Minnesota Statutes, chapter 13, the Health Insurance Portability and Accountability Act rules and regulations codified at 45 C.F.R. Parts 160, 162, and 164 ("HIPAA") and other applicable laws.

## DEFINITIONS

- A. "Agent" means Tribe's employees, contractors, subcontractors, and other non-employees and representatives.
- B. "Applicable Safeguards" means the state and federal provisions listed in Section 2.1 of this Attachment.
- C. "Breach" means the acquisition, access, Use, or Disclosure of unsecured protected health information in a manner not permitted by HIPAA, which compromises the security or privacy of protected health information.
- D. "Business associate" shall generally have the same meaning as the term "business associate" at 45 C.F.R. § 160.103, and in reference to the party in the Contract and this Attachment, shall mean Tribe.
- E. "Contract" means the Grant Services Contract between State and Tribe.
- F. "Disclose," "Disclosed," and "Disclosure" means the release, transfer, provision of access to, or divulging in any manner of information by the entity in possession of the Protected Information.
- G. "HIPAA" means the rules and regulations codified at 45 C.F.R. Parts 160, 162, and 164.
- H. "Individual" means the person who is the subject of protected information.
- I. "Privacy incident" means a violation of an information privacy provision of any applicable state and federal law, statute, regulation, rule, or standard, including those listed in the Contract and this Attachment.
- J. "Protected information" means any information that is or will be Used by State or Tribe under the Contract that is protected by federal or state privacy laws, statutes, regulations or standards, including those listed in this Attachment. This includes, but is not limited to, individually identifiable information about a State, county or tribal human services agency client or a client's family member.

Protected information also includes, but is not limited to, protected health information, as defined below, and protected information maintained within or accessed via a State information management system, including a State “legacy system” and other State application.

- K. “Protected health information” is a subset of “individually identifiable health information” in accordance with 45 C.F.R. § 160.103, but for purposes of this Attachment refers only to that information that is received, created, maintained, or transmitted by Tribe as a business associate on behalf of DHS. Protected health information is a specific subset of protected information as defined above.
- L. “Security incident” means the attempted or successful unauthorized Use or the interference with system operations in an information management system or application. Security incident does not include pings and other broadcast attacks on a system’s firewall, port scans, unsuccessful log-on attempts, denials of service, and any combination of the above, provided that such activities do not result in the unauthorized Use of Protected Information.
- M. “Use” or “Used” means any activity by the parties during the duration of the Contract involving protected information including its creation, collection, access, use, modification, employment, application, utilization, examination, analysis, manipulation, maintenance, dissemination, sharing, disclosure, transmission, or destruction. Use includes any of these activities whether conducted manually or by electronic or computerized means.
- N. “User” means an agent of either party, who has been authorized to use protected information.

## **1. INFORMATION EXCHANGED**

- 1.1 This Attachment governs the data that will be exchanged pursuant to Tribe performing the services described in the Contract. The data exchanged under the Contract may include the following data elements about an Individual: name, address, phone number, email address, date of birth, social security number, age, sex, gender, income, medical information (e.g., health diagnoses, health conditions, and healthcare treatments), and human services program eligibility status. This data may be classified as:
  - (a) Private data (as defined in Minn. Stat. § 13.02, subd. 12), confidential data (as defined in Minn. Stat. § 13.02, subd. 3), welfare data (as governed by Minn. Stat. § 13.46), medical data (as governed by Minn. Stat. § 13.384), and other “not public” data (as defined in Minn. Stat. § 13.02, subd. 8a) governed by other sections in the Minnesota Government Data Practices Act (MGDPA), Minn. Stats. Chapter 13;
  - (b) Protected health information (“PHI”) (as defined in and governed by the Health Insurance Portability and Accountability Act (“HIPAA”) and 45 C.F.R. § 160.103);
  - (c) Records (as defined by the Privacy Act of 1974 at 5 U.S.C. § 552a(a)(4));
  - (d) Other data subject to applicable state and federal statutes, rules, and regulations affecting the collection, storage, Use, or dissemination of private or confidential information.
- 1.2 State is permitted to share the Protected Information with Tribe pursuant to Minnesota Statutes, section 62V.06, subdivision 5; 45 CFR §§ 164.506(c), and 164.512, in order for Tribe to help State perform the duties described in the grant services contract, which is primarily to help State guide Minnesota residents through the process of enrolling in health insurance options available through State (MNSure).

## **2. INFORMATION PRIVACY AND SECURITY**

Tribe and State must comply with the Minnesota Government Data Practices Act, Minn. Stat. § 13, and the Health Insurance Portability Accountability Act [“HIPAA”], 45 C.F.R. § 164.103, et seq., as it applies to all data provided by State under the Contract, and as it applies to all data created, collected, received, stored, Used, maintained, or disseminated by Tribe under the Contract. The civil remedies of Minn. Stat. § 13.08

apply to Tribe and State. Additionally, the remedies of HIPAA apply to the release of data governed by that Act.

## 2.1 Compliance with Applicable Safeguards.

(a) **State and Federal Safeguards.** The parties acknowledge that the Protected Information to be shared under the terms of the Contract may be subject to one of the following laws, statutes, regulations, rules, and standards, as applicable (“Applicable Safeguards”). The parties agree to comply with all rules, regulations and laws, including as amended or revised, applicable to the exchange, Use and Disclosure of data under the Contract, including:

1. Health Insurance Portability and Accountability Act rules and regulations codified at 45 C.F.R. Parts 160, 162, and 164 (“HIPAA”);
2. Minnesota Government Data Practices Act (Minn. Stat. Chapter 13);
3. U.S. Privacy Act of 1974;
4. Computer Matching Requirements (5 U.S.C. 552a)
5. Final Exchange Privacy Rule of the Affordable Care Act (45 C.F.R. § 155.260), and
6. All [State of Minnesota “Enterprise Information Security Policies and Standards”](#)<sup>1</sup>

(b) **Statutory Amendments and Other Changes to Applicable Safeguards.** The Parties agree to take such action as is necessary to amend the Contract and this Attachment from time to time as is necessary to ensure, current, ongoing compliance with the requirements of the laws listed in this Section or in any other applicable law.

## 2.2 Tribe Data Responsibilities

### (a) Use Limitation.

1. **Restrictions on Use and Disclosure of Protected Information.** Except as otherwise authorized in the Contract or this Attachment, Tribe may only Use or Disclose Protected Information as necessary to provide the services to State as described herein, or as otherwise required by law, provided that such Use or Disclosure of Protected Information, if performed by State, would not violate the Contract, this Attachment, HIPAA, or other state and federal statutes or regulations that apply to the Protected Information.
2. **Federal tax information.** To the extent that Protected Information Used under the Contract constitutes “federal tax information” (FTI), Tribe shall ensure that this data only be Used as authorized under the Patient Protection and Affordable Care Act, the Internal Revenue Code, 26 U.S.C. § 6103(C), and IRS Publication 1075.

(b) **Individual Privacy Rights.** Tribe shall ensure Individuals are able to exercise their privacy rights regarding Protected Information, including but not limited to the following:

1. **Complaints.** Tribe shall work cooperatively with State to resolve complaints received from an Individual; from an authorized representative; or from a state, federal, or other health oversight agency.
2. **Amendments to Protected Information Requested by Data Subject Generally.** Within ten (10) business days, Tribe must forward to State any request to make any amendment(s) to Protected Information in order for State to satisfy its obligations under Minn. Stat. § 13.04, subd. 4. If the request to amend Protected Information pertains to Protected Health Information, then Tribe must also make any amendment(s) to protected health information as directed or agreed to by State pursuant to 45 C.F.R. § 164.526 or otherwise act as necessary to satisfy State or Tribe’s obligations under 45 C.F.R. § 164.526 (including, as applicable, protected health information in a designated record set).

(c) **Background Review and Reasonable Assurances Required of Agents.**

1. **Criminal Background Check Required.** All employees, agents and volunteers of the Tribe who are seeking certification to be a MNSure-certified Navigator and will be accessing

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<sup>1</sup> See <https://mn.gov/mnit/government/policies/security/>

State's Protected Information must undergo a computerized criminal history system background check.

2. **Reasonable Assurances.** Tribe represents that, before its Agents are allowed to Use or Disclose Protected Information, Tribe has conducted and documented a background review of such Agents sufficient to provide Tribe with reasonable assurances that the Agent will comply with the terms of the Contract, this Attachment and Applicable Safeguards.
  3. **Documentation.** Tribe shall make available documentation required by this Section upon request by State.
- (d) **Ongoing Responsibilities to Safeguard Protected Information.**
1. **Privacy and Security Policies.** Tribe shall develop, maintain, and enforce policies, procedures, and administrative, technical, and physical safeguards to ensure the privacy and security of the Protected Information.
  2. **Electronic Protected Information.** Tribe shall implement and maintain appropriate safeguards, and comply with Subpart C of 45 C.F.R. Part 164 (HIPAA Security Rule) with respect to electronic Protected Information, including electronic Protected Health Information, to prevent the Use or Disclosure other than as provided for by the Contract or this Attachment.
  3. **Encryption.** According to the State of Minnesota's "Enterprise Information Security Policies and Standards," Tribe must use encryption to store, transport, or transmit any Protected Information. Tribe must not use unencrypted email to send any of the State data described in this subsection to anyone.
  4. **Monitoring Agents.** Tribe shall ensure that any contractor, subcontractor, or other agent to whom Tribe discloses Protected Information on behalf of State, or whom Tribe employs or retains to create, receive, Use, store, Disclose, or transmit Protected Information on behalf of State, agrees to the same restrictions and conditions that apply to Tribe under the Contract and this Attachment with respect to such Protected Information, and in accordance with 45 C.F.R. §§ 164.502(e)(1)(ii) and 164.308(b)(2).
  4. **Minimum Necessary Access to Protected Information.** Tribe shall ensure that its Agents Use only the minimum necessary Protected Information needed to complete an authorized and legally permitted activity.
  5. **Training.** Tribe shall ensure that Agents are properly trained and comply with all Applicable Safeguards and the terms of the Contract and this Attachment.
- (e) **Responding to Privacy Incidents, Security Incidents, and Breaches.** Tribe will comply with this Section for all protected information shared under the Contract. Additional obligations for specific kinds of protected information shared under the Contract are addressed in Section 2.2(F).
1. **Mitigation of harmful effects.** Upon discovery of any actual or suspected privacy incident, security incident, or breach, Tribe will mitigate, to the extent practicable, any harmful effect of the privacy incident, security incident, or breach. Mitigation may include, but is not limited to, notifying and providing credit monitoring to affected Individuals.
  2. **Investigation.** Upon discovery of any actual or suspected privacy incident, security incident, or breach, Tribe will investigate to (1) determine the root cause of the incident, (2) identify Individuals affected, (3) determine the specific protected information impacted, and (4) comply with notification and reporting provisions of the Contract, this Attachment and applicable law.
  3. **Corrective action.** Upon identifying the root cause of any privacy incident, security incident, or breach, Tribe will take corrective action to prevent, or reduce to the extent practicable, any possibility of recurrence. Corrective action may include, but is not limited to, patching information system security vulnerabilities, employee sanctions, or revising policies and procedures.
  4. **Notification to Individuals and others; costs incurred.**
    - A. **Protected Information.** Tribe and State will coordinate to determine whether notice to data subjects and/or any other external parties regarding any privacy incident or security incident is required by law. If such notice is required, Tribe will comply with State's and Tribe's obligations under any applicable law requiring notification, including, but not limited to, Minn. Stat. §§ 13.05 and 13.055.



Agents on behalf of State, to State on a monthly basis, in accordance with 45 C.F.R § 164.314.

- D. **Other violations.** Tribe will report any other violation of an Individual's privacy rights as it pertains to protected health information to State within five (5) business days of discovery. This includes, but is not limited to, violations of HIPAA data access or complaint provisions.
  - E. **Reporting to other external parties.** Tribe will report all breaches of protected health information to the federal Department of Health and Human Services in coordination with State, as specified under 45 C.F.R 164.408. If a breach of protected health information involves 500 or more Individuals:
    - a. Tribe will immediately notify State.
    - b. Tribe will coordinate with State to report to the news media and federal Department of Health and Human Services in accordance with 45 C.F.R. §§ 164.406-408.
  - F. **Other Protected Information.** Tribe will report all other privacy incidents and security incidents to State.
    - a. **Initial report.** Tribe will report all other privacy and security incidents to State, in writing, within five (5) days of discovery. If Tribe is unable to complete its investigation of, and response to, a privacy incident or security incident within five (5) days of discovery, then Tribe will provide State with all information under Section 2.2(E)(1)-(4), of this Attachment that are available to Tribe at the time of the initial report.
    - b. **Final report.** Tribe will, upon completion of its investigation of and response to a privacy incident or security incident, or upon State's request in accordance with Section 2.2(E)(5) submit in writing a report to State documenting all actions taken under Section 2.2(E)(1)-(4), of this Attachment.
- (g) **Protected Health Information Designated Record Set.** If, on behalf of State, Tribe maintains a complete or partial designated record set, as defined in 45 C.F.R. § 164.501, upon request by State, Tribe shall:
- 1. Provide the means for an Individual to access, inspect, or receive copies of the Individual's Protected Health Information.
  - 2. Provide the means for an Individual to make an amendment to the Individual's Protected Health Information.
  - 3. Provide the means for access and amendment in the time and manner that complies with HIPAA or as otherwise directed by State.
- (h) **Access to Books and Records, Security Audits, and Remediation.** Tribe shall conduct and submit to audits and necessary remediation as required by this Section to ensure compliance with all Applicable Safeguards and the terms of the Contract and this Attachment.
- 1. Tribe represents that it has audited and will continue to regularly audit the security of the systems and processes used to provide services under the Contract and this Attachment, including, as applicable, all data centers and cloud computing or hosting services under contract with Tribe. Tribe will conduct such audits in a manner sufficient to ensure compliance with the security standards referenced in this Attachment.
  - 2. This security audit required above will, to the extent permitted by applicable law, be deemed confidential security information and not public data under the Minnesota Government Data Practices Act, Minn. Stat. § 13.37, subd. 1(a) and 2(a).
  - 3. Tribe agrees to make its internal practices, books, and records related to its obligations under the Contract and this Attachment available to State or a State designee upon State's request for purposes of conducting a financial or security audit, investigation, or assessment, or to determine Tribe's or State's compliance with Applicable Safeguards, the terms of this Attachment and accounting standards. For purposes of this provision, other authorized government officials includes, but is not limited to, the Secretary of the United States Department of Health and Human Services.

4. Tribe will make and document best efforts to remediate any control deficiencies identified during the course of its own audit(s), or upon request by State or other authorized government official(s), in a commercially reasonable timeframe.
- (i) **Documentation Required.** Any documentation required by this Attachment, or by applicable laws, standards, or policies, of activities including the fulfillment of requirements by Tribe, or of other matters pertinent to the execution of the Contract, must be securely maintained and retained by Tribe for a period of six (6) years from the date of expiration or termination of the Contract, or longer if required by applicable law, after which the documentation must be disposed of consistent with Section 2.6 of this Attachment.

Tribe shall document disclosures of Protected Health Information made by Tribe that are subject to the accounting of disclosure requirement described in 45 C.R.F. 164.528, and shall provide to State such documentation in a time and manner designated by State at the time of the request.

- (j) **Requests for Disclosure of Protected Information.** If Tribe or one of its Agents receives a request to disclose Protected Information, Tribe shall inform State of the request and coordinate the appropriate response with State. If Tribe discloses Protected Information after coordination of a response with State, it shall document the authority used to authorize the disclosure, the information disclosed, the name of the receiving party, and the date of disclosure. All such documentation shall be maintained for the term of the Contract and shall be produced upon demand by State.
- (l) **Conflicting Provisions.** Tribe shall comply with all applicable provisions of HIPAA and with the Contract and this Attachment. To extent that the parties determine, following consultation, that the terms of this Attachment are less stringent than the Applicable Safeguards, Tribe must comply with the Applicable Safeguards. In the event of any conflict in the requirements of the Applicable Safeguards, Tribe must comply with the most stringent Applicable Safeguard.
- (m) **Data Availability.** Tribe, or any entity with legal control of any protected information provided by State, shall make any and all protected information under the Contract and this Attachment available to State upon request within a reasonable time as is necessary for State to comply with applicable law.

### 2.3 **Data Security.**

- (a) **State Information Management System Access.** If State grants Tribe access to Protected Information maintained in a State information management system (including a State "legacy" system) or in any other State application, computer, or storage device of any kind, then Tribe agrees to comply with any additional system- or application-specific requirements as directed by State.
- (b) **Electronic Transmission.** The parties agree to encrypt electronically transmitted Protected Information in a manner that complies with NIST Special Publications 800-52, Guidelines for the Selection and Use of Transport Layer Security (TLS) Implementations; 800-77, Guide to IPsec VPNs; 800-113, Guide to SSL VPNs, or others methods validated under Federal Information Processing Standards (FIPS) 140-2.
- (c) **Portable Media and Devices.** The parties agree to encrypt Protected Information written to or stored on portable electronic media or computing devices in a manner that complies with NIST SP 800-111, Guide to Storage Encryption Technologies for End User Devices.

### 2.4 **Tribe Permitted Uses and Responsibilities.**

- (a) **Management and Administration.** Except as otherwise limited in the Contract or this Attachment, Tribe may:
  1. Use Protected Health Information for the proper management and administration of Tribe or to carry out the legal responsibilities of Tribe.
  2. Disclose Protected Health Information for the proper management and administration of Tribe, provided that:
    - A. The disclosure is required by law; or
    - B. The disclosure is required to perform the services provided to or on behalf of State or the disclosure is otherwise authorized by State, and Tribe:

- a. Obtains reasonable assurances, in the form of a data sharing agreement, from the entity to whom the Protected Health Information will be disclosed that the Protected Health Information will remain confidential, and will not be Used or Disclosed other than for the contracted services or the authorized purposes; and
  - b. Tribe requires the entity to whom Protected Health Information is disclosed to notify Tribe of any compromise to the confidentiality of Protected Health Information of which it becomes aware.
- (b) **Notice of Privacy Practices.** If Tribe's duties and responsibilities require it, on behalf of State, to obtain individually identifiable health information from Individual(s), then Tribe shall, before obtaining the information, confer with State to ensure that any required Notice of Privacy Practices includes the appropriate terms and provisions.
- (c) **De-identify Protected Health Information.** Tribe may Use Protected Health Information to create de-identified Protected Health Information provided that Tribe complies with the de-identification methods specified in 45 C.F.R. § 164.514.
- (d) **Aggregate Protected Health Information.** Tribe may Use Protected Health Information to perform data aggregation services for State. The Use of Protected Health Information by Tribe to perform data analysis or aggregation for parties other than State must be expressly approve by State.

## 2.5 State Data Responsibilities

- (a) State shall disclose Protected Information only as authorized by law to Tribe for its Use or Disclosure.
- (b) State shall obtain any consents or authorizations that may be necessary for it to disclose Protected Information with Tribe.
- (c) State shall notify Tribe of any limitations that apply to State's Use and Disclosure of Protected Information that would also limit the Use or Disclosure of Protected Information by Tribe.
- (d) State shall refrain from requesting Tribe to Use or Disclose Protected Information in a manner that would violate applicable law or would be impermissible if the Use or Disclosure were performed by State.

## 2.6 Obligations of Tribe Upon Expiration or Cancellation of the Contract. Upon expiration or termination of the Contract for any reason:

- (a) Tribe shall retain only that Protected Health Information which is necessary for Tribe to continue its proper management and administration or to carry out its legal responsibilities, and maintain appropriate safeguards and comply with Subpart C of 45 C.F.R. Part 164 with respect to electronic Protected Health Information to prevent the impermissible Use or Disclosure of any retained Protected Health Information for as long as Tribe retains the Protected Health Information.
- (b) For all other Protected Information, in compliance with the procedures found in the Applicable Safeguards listed in Section 2.1, or as otherwise required by applicable industry standards, or directed by State, Tribe shall immediately, destroy or sanitize (permanently de-identify without the possibility of re-identification), or return in a secure manner to State all Protected Information that it still maintains.
- (c) Tribe shall ensure and document that the same action is taken for all Protected Information shared by State that may be in the possession of its contractors, subcontractors, or agents. Tribe and its contractors, subcontractors, or agents shall not retain copies of any Protected Information.
- (d) In the event that Tribe cannot reasonably or does not return or destroy Protected Information, it shall notify State of the specific laws, rules or policies and specific circumstances applicable to its retention, and continue to extend the protections of the Contract and this Attachment and take all measures possible to limit further Uses and Disclosures of the client data for so long as Tribe or its contractors, subcontractors, or agents maintain the Protected Information.
- (e) Documentation required by this Section shall be made available upon demand by State.
- (f) Any costs incurred by Tribe in fulfilling its obligations under this Section will be the sole responsibility of Tribe.