

July 28, 2021

**P20 WIN
ENTERPRISE MEMORANDUM OF UNDERSTANDING**

Between

**State Board of Education, Office of Early Childhood, Connecticut State Colleges and Universities,
Connecticut Department of Labor, University of Connecticut,
Connecticut Conference of Independent Colleges,
Connecticut Department of Social Services, Connecticut Office of Higher Education,
Connecticut Department of Children and Families,
Connecticut Coalition to End Homelessness**

And

Connecticut Office of Policy and Management (as the "Operating Group")

And

Connecticut Department of Labor (as the "Data Integration Hub")

WHEREAS, data sharing is an indispensable component of cross-system collaboration needed to achieve the best government solutions for the residents of the State of Connecticut;

WHEREAS, it is important to make interagency data sharing more streamlined and efficient, increasing the integration and analysis of data across agencies and programs;

WHEREAS, the State is committed to protecting and strengthening the data security and individual critical privacy safeguards and confidentiality requirements pursuant to federal and state laws;

WHEREAS, the State recognizes that persons and communities of color often face disparate impacts and are overrepresented in certain agencies' administrative data;

WHEREAS, cross- agency data sharing shall only occur under principles that advance the equitable use of data;

WHEREAS, certain state agencies and entities agree to securely exchange data as permitted or required by applicable law in order to improve the services they provide and programs they operate for the benefit of residents of the State of Connecticut;

WHEREAS, the Connecticut Preschool through Twenty and Workforce Information Network ("P20 WIN") consortium of agencies and entities has accomplished a tremendous amount of work and demonstrated success in sharing data for program evaluation and research purposes involving education and workforce development;

**STATE OF CONNECTICUT
DATA SHARING AGREEMENT
Between
New Haven Public School District,
Connecticut Department of Education,
Connecticut Office of Early Childhood,
Yale University
And
Connecticut Department of Labor**

WHEREAS, this Data Sharing Agreement (“DSA”) is by and between the Connecticut Department of Labor (hereinafter referred to as “Data Integration Hub”), and the New Haven Public School District, the Connecticut Department of Education, the Connecticut Office of Early Childhood, and the Connecticut Department of Labor (hereinafter referred to as “Participating Agency” or “Participating Agencies” for providing data), and Yale University (hereinafter referred to as “Data Recipient”) together referred to as “Party” or “Parties,” and is effective as of the last date of the signature shown below (“Effective Date”);

WHEREAS, Data Integration Hub is operating as the centralized data linking services for Participating Agencies (as defined in the Enterprise Memorandum of Understanding (hereinafter referred to as “E-MOU”), which is attached hereto and incorporated herein);

WHEREAS, Participating Agencies wish to share data with the Data Integration Hub for data linking services, in accordance with the terms and conditions of this DSA and approved under the terms and conditions of the E-MOU, and share the linked data with the Data Recipient.

NOW, THEREFORE, the Parties, in consideration of mutual promise and obligations set forth here, the sufficiency of which is hereby acknowledged, and intending to be legally bound, agree as follows:

I. RESPONSIBILITIES OF PARTICIPATING AGENCIES

- A. Specific Duties of Participating Agencies When Transmitting Data. Whenever a Participating Agency Transmits data to the Data Integration Hub, the Participating Agency shall do so in compliance with applicable federal and state law and the E-MOU. Furthermore, the Participating Agency will abide by all of the specific requirements contained in the Data Sharing Request Form, which is attached and incorporated as Exhibit A, including but not limited to the confidentiality and privacy requirements contained in applicable law and the data that the Participating Agency shall be transmitting to the Data Integration Hub.

- B. Compliance with E-MOU. Except to the extent prohibited by applicable federal and state law, Participating Agencies shall comply fully with all provisions of the E-MOU.
- C. Users. A Participating Agency shall require that all of its Users perform Data Transmittal only in accordance with the terms and conditions of the E-MOU and the applicable Specifications, including without limitation those governing the authorization, use, confidentiality, privacy, and security of data.
- D. Agreements with Users. A Participating Agency shall have established written documentation that each of its Users has signed its own User Acknowledgement Form or, if they do not have their own, has signed the User Acknowledgement Form, which is attached and incorporated herein as Exhibit B. A Participating Agency shall take steps to ensure that any User shall, at a minimum: (i) comply with all federal and state laws; (ii) reasonably cooperate with the Operating Group and Data Integration Hub on issues related to the E-MOU; (iii) transmit data only for a permitted purpose; (iv) use and disclose data received from another Participating Agency or User in accordance with the terms and conditions of this DSA; (v) as soon as learning that a Breach or potential Breach has occurred, report such breach to the Operating Group for the Data Governing Board so that the Data Governing Board can proceed according to the terms and conditions of the E-MOU; (vi) refrain from disclosing to any other person any passwords or other security measures issued to the User for the Data Sharing process; and (vii) cooperate with any external audits. Notwithstanding the foregoing, for Users who are employed by a Participating Agency or who have agreements with a Participating Agency which became effective prior to the Effective Date, compliance with this Section may be satisfied through written policies and procedures that address items (i) through (vi) of this Section so long as the Participating Agency can document that there is a written requirement that the User must comply with the policies and procedures.
- E. Agreements with Vendors. To the extent that a Participating Agency uses vendors, in connection with the Participating Agency's Transmittal of Data, the Participating Agency affirms that it has established agreements with each of its vendors that require the vendor to, at a minimum: (i) comply with applicable federal and state law; (ii) protect the privacy and security of any data to which it has access; (iii) as soon as reasonably practicable after determining that a breach occurred, report such breach to the Participating Agency; (iv) not re-disclose information without the written consent of the Participating Agency; (v) agree to the same restrictions on the access, use, and disclosure of Data as contained herein; (vi) reasonably cooperate with the other Participating Agencies to the E-MOU on issues related to the E-MOU; (vii) sign a form that meets the requirements of Exhibit B; and (viii) cooperate with any external audits.
- F. Compliance with Laws. The Participating Agencies shall fully comply with all applicable federal and state laws.

G. Disclaimers.

1. **Reliance on a System.** Each Participating Agency acknowledges and agrees that (i) the data provided to the Data Integration Hub is drawn from numerous sources; (ii) the data is specific to the point in time when drawn, and (iii) it can only confirm that, at the time of the data Transmittal, the data is an accurate representation of data contained in, or available through, the Data Integration Hub. Nothing in the DSA shall be deemed to impose responsibility or liability on a Participating Agency related to the clinical accuracy, content or completeness of any data provided pursuant to the Data Integration Hub. Furthermore, Participating Agencies may not rely upon the availability of a particular Participating Agency's data.
2. **Carrier Lines.** The Participating Agency acknowledges that the Transmittal of data between Participating Agencies, the Data Recipient and the Data Integration Hub is to be provided over various facilities and communications lines, and data shall be transmitted over local exchange and Internet backbone carrier lines and through routers, switches, and other devices (collectively, "carrier lines") owned, maintained, and serviced by third-party carriers, utilities, and Internet service providers, all of which may be beyond the Participating Agency's control. Provided the Participating Agency uses reasonable security measures, no less stringent than those directives, instructions, and specifications contained in the E-MOU, its Specifications, and applicable federal and state law, the Participating Agency assumes no liability for or relating to the integrity, privacy, security, confidentiality, or use of any data while it is transmitted over those carrier lines, which are beyond Participating Agency's control, or any delay, failure, interruption, interception, loss, Transmittal, or corruption of any data or other information attributable to Transmittal over those carrier lines which are beyond Participating Agency's control. The use of the carrier lines is solely at the Participating Agency's risk and is subject to all applicable federal and state law. If a Breach occurs and it is determined that it happened because of a carrier issue, the Participating Agency responsible for the Transmittal of Data is the responsible party for the Breach notification. However, data should be encrypted using current industry standard algorithms agreed on by the parties involved before transmission occurs.
3. **Collecting Data.** Each Participating Agency has collected the confidential data from Individuals. Accordingly, the Participating Agency is solely responsible for ensuring that all legal requirements have been met to collect data on Individuals whose confidential data are being provided to the Data Integration Hub and the Data Recipient.

- H. All Participating Agencies and the Data Integration Hub agree that Data will be encrypted at rest and in motion, and any and all backups will be encrypted.

II. RESPONSIBILITIES OF DATA INTEGRATION HUB

- A. For any Data Sharing, the Data Integration Hub agrees to store and access all Data obtained From the providing Participating Agency on secure computers and in secure files to which access is restricted to authorized persons only and in an area that is physically safe from unauthorized

persons at all times. All personnel authorized to access data shall be fully trained and advised of the confidential nature of the information and the safeguards required protecting the information and having a signed User Acknowledgement Form.

- B. The Data Integration Hub agrees to monitor all authorized Users to ensure such Users observe the confidentiality requirements outlined in the E-MOU.
- C. Users will not store or Transmit Data on a portable storage device, such as but not limited to a USB flash drive, cell phone, portable laptop, external hard drive or through unencrypted e-mail with the exception of system backup tapes and files. System backup tapes and files will be encrypted to prevent data loss.
- D. The Data Integration Hub will have policies and procedures regarding data security that protect against violations of federal and state law, when the Data is at rest and during Transmission. The Participating Agency reserves the right to request the Operating Group to assist in an audit regarding access to Participating Agency's data therein.
- E. If the Participating Agency has provided data for matching services only, only data that does not contain data fields used for matching and is represented by one or more false identifiers unique to the data request will be provided by the Data Integration Hub to the Data Recipient.
- F. The Data Integration Hub shall comply with the following access and security requirements:
 - 1. Limited Access. The Data Integration Hub will limit access to the Participating Agency's confidential Data to staff who have signed the Confidentiality and Nondisclosure Agreement attached and incorporated herein as Exhibit C and is working on a specific data sharing project with the Participating Agencies pursuant to the terms of the E-MOU.
 - 2. Secure Storage. The Data Integration Hub agrees to have a security program that, at a minimum, includes all controls identified in the National Institute of Standards and Technology ("NIST") Special Publication 800-171. Furthermore, the Data Integration Hub shall be responsible for maintaining a secure environment compliant with state policies, standards and guidelines, and other applicable federal and state law that supports the Transmission of Data in compliance with the Specifications. Last, the Data Integration Hub has secured access through identification cards, keypads, locks, etc. and that the environment is secure from hazards such as flooding and fire.
 - 3. Use. The Data Integration Hub shall use the Participating Agency's data solely for the purpose approved by the Participating Agency. The Data Integration Hub shall only disclose the Participating Agency's data to staff with the authority to handle the data in furtherance of the Participating Agency's approved purpose and pursuant to this Data Sharing Agreement ("DSA").
 - 4. Data Deletion. The Data Integration Hub shall retain the Participating Agency's Data for a period no later than five (5) business days after the match has been completed

pursuant to this DSA, unless otherwise agreed to by one of the Participating Agencies and the Data Integration Hub and specified in Exhibit A.

G. Anonymization of Data

1. **Criteria for Anonymized Data.** The Participating Agencies have determined that anonymized data shall remove all personal identifiers which can be used to distinguish or trace an Individual.
2. **Cell Suppression Policy.** The Data Integration Hub agrees that approved projects including data from the Participating Agency in the creation of any dissemination materials (e.g., project updates, tables, reports, presentation) must adhere to the cell size suppression stated herein or Data identified as confidential in Exhibit A:
 - a. No cell (e.g., grouping of individuals, patients, students, clients) with less than 20 observations may be displayed.
 - b. No use of percentages or other mathematical formulas may be used if they result in a cell displaying less than 20 observations.
 - c. Individual level records may not be published in any form, electronic or printed.
 - d. Reports and analytics must use complementary cell suppression techniques to ensure that cells with fewer than 20 observations cannot be identified by manipulating data in adjacent rows, column or other manipulations of any combination of dissemination materials generated through an approved project. Examples of such data elements include but are not limited to geography, age groupings, race/ethnicity, sex, or birth or death dates.

III. TRANSFER OF DATA FROM PARTICIPATING AGENCIES AND DATA INTEGRATION HUB TO DATA RECIPIENT

The Participating Agency will submit to the Data Integration Hub, or otherwise permit the Data Integration Hub staff to electronically access, the Data associated with approved Data Sharing or Data linking projects as evidenced by the documents attached to this DSA and required pursuant to the E-MOU and its Appendices. Confidential Data will be transferred electronically to the Data Integration Hub and Data Recipient only via encrypted files and in accordance with the security requirements outlined in the E-MOU and the State of Connecticut's cybersecurity policies.

IV. DATA INTEGRATION HUB'S RIGHTS TO SHARE/RE-DISTRIBUTE THE DATA

Except as expressly provided in this DSA and the E-MOU, the Data Integration Hub shall not distribute any data submitted by the Participating Agency without the Participating Agency's written approval.

V. RESPONSIBILITIES OF DATA RECIPIENT

- A. Permitted Data Sharing Project: Approved Use and Data Elements

This DSA pertains to the P20 WIN Project described in Exhibit A. This P20 WIN Project was approved by all Participating Agency(s) and the Data Recipient on January 22, 2021 and the approved Data Sharing Request Form is attached and incorporated hereto as Exhibit A.

The approved Data Sharing Request Form details the permitted use of the Resultant Data as well as the approved data to be included in the Data Sharing project. This DSA pertains only to the use and Data elements identified in Exhibit A, and the Data Recipient will obtain any appropriate Institutional Review Board (IRB) approval and document the approval for the Operating Group before Data Transfer.

Furthermore, the P20 WIN Project and the Data Recipient will abide by all applicable and specific federal and state law confidentiality and privacy requirements as outlined in Exhibit A.

The Data Recipient shall not use the Resultant Data for any purpose independent of, separate from or not directly connected to the purpose(s) specifically approved by the Participating Agencies in Exhibit A.

B. Data Sovereignty and Accuracy

The Data Recipient acknowledges that it must use the Resultant Data in accordance with the approved Data Sharing Request Form (Exhibit A) and pursuant to receipt of IRB approval by the Operating Group, and that the Data Recipient may only receive and use the Resultant Data for the purposes approved by the Participating Agencies.

The Data is current as of the date and time compiled and can change. The Participating Agencies providing Data do not ensure 100% accuracy of all records and fields. Some data fields may contain incorrect or incomplete data. The Data Integration Hub and the Participating Agencies providing the Data cannot commit resources to explain or validate complex matching and cross-referencing programs; the Data Integration Hub does provide documentation for each data matching process about the rules used in the match and the match rate. The Data Recipient accepts the quality of the data they receive. Questions by the Data Recipient related to the Resultant Data completeness (i.e., approved Data elements in the attached Exhibit A) or matching accuracy shall be in writing and sent to the Operating Group within ten (10) business days of receipt of all Data sets. Data that has been manipulated or reprocessed by the Data Recipient is the responsibility of the Data Recipient. The Data Integration Hub cannot commit resources to assist Data Recipient with converting Data to another format.

C. Data Transfer

Resultant Data outlined in Exhibit A will be transferred to the Data Recipient through a secure transmission that meets state and federal laws, such as file transfer protocol provided or approved by the Data Integration Hub. The Data Recipient will be provided secure access to the

secure transmission and will be allowed to download the Resultant Data file(s) for a limited period of time after which access to the secure transmission will be removed or the Data files will be deleted.

D. Safeguarding Data

1. Security Controls. The Data Recipient shall implement and maintain the data security controls specified in the Data Sharing Request Form (Exhibit A), as well as the E-MOU, that has been approved by the Participating Agencies that provided the Data.
2. Cell Suppression Policy. The Data Recipient agrees that any use of the Data in the creation of any dissemination materials (including but not limited to a manuscript, table, chart, study, report, presentation, etc.) concerning the specified purpose must adhere to the cell size suppression policy as identified in the Data Sharing Request Form (Exhibit A) and attachments as follows:

This policy stipulated that no cell (e.g. grouping of individuals, patients, clients, recipients, etc.) with less than 20 observations may be displayed. This is the most stringent cell size allowable among the Participating Agencies that provided the Data for the P20 WIN Project specified in this DSA.

No use of percentages or other mathematical formulas may be used if they result in a cell displaying less than 20 observations.

Individual level records may not be published in any form, electronic or printed.

Reports and analytics must use complementary cell suppression techniques to ensure that cells with fewer than 20 observations cannot be identified by manipulating data in adjacent rows, columns or other manipulations of any combination of dissemination materials generated through this P20 WIN Project. Examples of such Data elements include, but are not limited to geography, age groupings, sex, or birth or death rates.

- E. Any person or entity that processes or receives the Resultant Data, and its agents, vendors and independent contractors must be obligated, by written contract, to adhere to the terms of this DSA and agree to follow the Data security controls approved in the attached Exhibit A and the E-MOU, prior to being granted access to Resultant Data, and to sign the Confidentiality and Nondisclosure Agreement, attached as Exhibit C, or to show evidence of signing its own Confidentiality and Non-Disclosure Agreement. ~~The following named persons, and only these persons, will have access to the Resultant Data shared pursuant to this DSA:~~

DB
Both Page
DN
CT

~~The Data Recipient will notify the Operating Group of the name, role and organization for additions and/or replacements of persons listed above.~~ The Operating Group will share the changes with the Participating Agencies and shall obtain written approval from the Participating Agencies involved in the Data Request.

JB
Beth Page
DN

F. Accountability: Unauthorized Access, Use, or Disclosure

The Data Recipient shall take all steps necessary to prevent any use or disclosure of Resultant Data not authorized by this DSA. The Data Recipient will report any unauthorized access, use or disclosure of the Resultant Data to the Operating Group and to the particular the Participating Agencies from which the Data originated as soon as learning or had reasonable belief of the unauthorized access, use, or disclosure. The Data Recipient shall follow the reporting requirements contained in Exhibit A. In the event that the Operating Group determines or has a reasonable belief that the Data Recipient has made or may have made use or disclosure of the Resultant Data that is not authorized by this DSA, the Operating Group may, at its sole discretion, require the Data Recipient to perform one or more of the following, or such other actions as the Operating Group, in its sole discretion, deems appropriate, including but not limited to:

1. Promptly investigate and report to the Operating Group the Data Recipient's determinations regarding any alleged or actual unauthorized access, use, or disclosure;
2. Promptly resolve any issues or problems identified by the investigation;
3. Submit a formal response to an allegation of unauthorized access, use, or disclosure;
4. Submit a corrective action plan with steps designed to prevent any future unauthorized access, use, or disclosures; and
5. Return all Data or destroy Data it has received under this DSA.

The Data Recipient understands that as a result of the Operating Group's determination or reasonable belief that unauthorized access, use, or disclosures have occurred, the Operating

Group may refuse to release further Data to the Data Recipient for a period of time to be determined by the Operating Group, in its sole discretion.

G. Project Reporting Requirements

1. Pre-Publication Data Review. Data Recipients are required to share P20WIN project findings with the Operating Group at a minimum of five (5) days prior to any public release. The Operating Group shall secure written confirmation from the Participating Agencies that Data are properly aggregated for public release, consistent with the requirements in Section V.D.2. The Participating Agencies can request prior review of specific dissemination materials (e.g. presentations, publications) from the Data Recipient.

2. Project Acknowledgement. All publicly-released materials resulting from the P20 WIN project referenced in this DSA shall include the following acknowledgement:

“This work would not be possible without data provided by the P20 WIN Participating Agencies. The findings do not necessarily reflect the opinions of the State of Connecticut or the organizations and agencies contributing data.”

3. Final Publication. The Data Recipient shall provide the Operating Group with an electronic copy of all published work resulting from the P20 WIN project associated with this DSA within 30 days of publication.

H. Data Retention and Destruction

The Data Recipient agrees to destroy all Resultant Data and any derived data not submitted as part of the reporting requirements under Section F., by the approved P20 WIN Project end date, in accordance with the methods established by the “Guidance to Render Unsecured Protected Health Information Unusable, Unreadable, or Indecipherable to Unauthorized Individuals,” as established by the United States Department of Health and Human Services (HHS). The Data Recipient may request an extension of the Data Retention Period by submitting a written request that includes a justification to the Operating Group. This extension request must be submitted at least thirty (30) days prior to the P20 WIN Project end date.

When retention of the Resultant Data is no longer justified, the Data Recipient agrees to destroy the Resultant Data and send a completed “Certification of Project Completion and Destruction or Retention of Data” form, which is attached hereto and incorporated herein as Exhibit D, to the P20 WIN Project’s designated person in the Operating Group. The Data Recipient agrees not to retain any Resultant Data, or any parts thereof, or any derivative files that can be used in concert with other information after the aforementioned file(s) and the Data are destroyed unless all of the Participating Agencies grant written authorization. The Data Recipient

acknowledges that such date for retention of Resultant Data is not contingent upon action by the Data Integration Hub.

I. Financial Understanding

The Data Recipient agrees to pay a fee of \$17,500.00 to be invoiced upon secure transfer of the Resultant Data, based on any schedules adopted by the P20 WIN Executive Board. Payment is expected to be executed within thirty (30) days of receipt of invoice and the fee is payable to Treasurer, State of Connecticut.

VI. MODIFICATION; ASSIGNMENT; ENTIRE AGREEMENT

This DSA may not be modified except by written agreement of the Parties. This DSA may not be assigned or transferred without the Parties' prior written consent. Subject to the foregoing, this DSA will be binding upon and inure to the benefit of, and be enforceable by, the Parties and their successors and assigns. Notwithstanding anything to the contrary, each Party has the right to disclose the terms and conditions of this DSA to the extent necessary to establish rights or enforce obligations under this DSA. This DSA supersedes all previous Data Integration Hub agreements, whether oral or in writing.

VII. NO FURTHER OBLIGATIONS

The Parties do not intend that any agency or partnership relationship be created by this DSA. No Party has any obligation to provide any services using or incorporating the data unless the Participating Agencies agree and approves of this obligation under the terms of the E-MOU. Nothing in this DSA obligates the Participating Agencies to enter into any further agreement or arrangements related to the disclosure of information or data.

VIII. COMPLIANCE WITH LAW; APPLICABLE LAW

The Parties agree to comply with all applicable federal and state laws and regulations in connection with this DSA. The Parties agree that this DSA shall be governed by the laws of the State of Connecticut, without application of conflict of laws principles.

IX. SOVEREIGN IMMUNITY

Nothing in this E-MOU waives the State of Connecticut's sovereign immunity from suit and all of the protections under sovereign immunity.

X. TERM

The term of this DSA is from Effective Date to September 1, 2022. A Party may terminate this DSA upon sixty (60) days' written notice to the other Parties. The terms of this DSA that by their nature are intended to survive termination will survive any such termination as to data provided, and performance of this DSA, prior to the date of termination, including Sections I through VIII.

XI. REPRESENTATIVES

The contacts for purposes of this Agreement are:

For PARTICIPATING AGENCY:

State Department of Education
Name Ajit Gopalakrishnan
Title Chief Performance Officer
Email: ajit.gopalakrishnan@ct.gov
Phone: 860.713.6888

For PARTICIPATING AGENCY:

New Haven Public Schools
Name Dr. Iline Tracy
Title Superintendent
Email: iline.tracey@new-haven.k12.ct.us
Phone: 475.225.1003

For PARTICIPATING AGENCY:

Office of Early Childhood
Name Rachel Levanthal-Weiner
Title Chief Research & Planning Officer
Email: Rachel.leventhal-weiner@ct.gov
Phone: 860.500.4417

For DATA RECIPIENT:

Yale University
Name Brandon G. Romanchok
Title Senior Contract Specialist
Email: brandon.romanchok@yale.edu

For PARTICIPATING AGENCY and DATA INTEGRATION HUB:

Department of Labor
Name Patrick Flaherty
Title Director of Research & Information
Email: Patrick.flaherty@ct.gov
Phone: 860.263.6281

IN WITNESS WHEREOF, the undersigned have executed this Data Sharing Agreement as of the Effective Date.

PARTICIPATING AGENCY & DATA INTEGRATION HUB

By: _____
Dante Bartolomeo, Commissioner
Department of Labor
Date:

PARTICIPATING AGENCY

By: _____
Beth Bye, Commissioner
Office of Early Childhood
Date:

PARTICIPATING AGENCY

By: _____
Charlene Russell-Tucker, Commissioner
Department of Education
Date:

PARTICIPATING AGENCY

By:  _____
Iline Tracey, Superintendent
New Haven Public Schools
Date: 23 November 2021

XI. REPRESENTATIVES

The contacts for purposes of this Agreement are:

For PARTICIPATING AGENCY:

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Name Ajit Gopalakrishnan
Title Chief Performance Officer
Email: ajit.gopalakrishnan@ct.gov
Phone: 860.713.6888

For PARTICIPATING AGENCY:

New Haven Public Schools

Name Dr. Iline Tracy
Title Superintendent
Email: iline.tracey@new-haven.k12.ct.us
Phone: 475.225.1003

For PARTICIPATING AGENCY:

Office of Early Childhood

Name Rachel Levanthal-Weiner
Title Chief Research & Planning Officer
Email: Rachel.leventhal-weiner@ct.gov
Phone: 860.500.4417

For DATA RECIPIENT:

Yale University

Name Brandon G. Romanchok
Title Senior Contract Specialist
Email: brandon.romanchok@yale.edu

For PARTICIPATING AGENCY and DATA INTEGRATION HUB:

Department of Labor

Name Patrick Flaherty
Title Director of Research & Information
Email: Patrick.flaherty@ct.gov
Phone: 860.263.6281

IN WITNESS WHEREOF, the undersigned have executed this Data Sharing Agreement as of the Effective Date.

PARTICIPATING AGENCY & DATA INTEGRATION HUB

By: *Dante Bartolomeo*
Dante Bartolomeo, Commissioner
Department of Labor
Date:

PARTICIPATING AGENCY

By: *Beth Bye*
Beth Bye, Commissioner
Office of Early Childhood
Date: 11/16/2021

PARTICIPATING AGENCY

By: _____
Charlene Russell-Tucker, Commissioner
Department of Education
Date:

PARTICIPATING AGENCY

By: _____
Iline Tracey, Superintendent
New Haven Public Schools
Date:

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The contacts for purposes of this Agreement are:

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Name Ajit Gopalakrishnan
Title Chief Performance Officer
Email: ajit.gopalakrishnan@ct.gov
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For PARTICIPATING AGENCY:

Office of Early Childhood

Name Rachel Levanthal-Weiner
Title Chief Research & Planning Officer
Email: Rachel.leventhal-weiner@ct.gov
Phone: 860.500.4417

For PARTICIPATING AGENCY and DATA INTEGRATION HUB:

Department of Labor

Name Patrick Flaherty
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For PARTICIPATING AGENCY:

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Name Dr. Iline Tracy
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For DATA RECIPIENT:

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Name Brandon G. Romanchok
Title Senior Contract Specialist
Email: brandon.romanchok@yale.edu

IN WITNESS WHEREOF, the undersigned have executed this Data Sharing Agreement as of the Effective Date.

PARTICIPATING AGENCY & DATA INTEGRATION HUB

By: _____
Dante Bartolomeo, Commissioner
Department of Labor
Date:

PARTICIPATING AGENCY

By: Desi Nesmith
Desi Nesmith, Deputy Commissioner
Department of Education
Date: 10/6/21

PARTICIPATING AGENCY

By: _____
Beth Bye, Commissioner
Office of Early Childhood
Date:

PARTICIPATING AGENCY

By: _____
Iline Tracey, Superintendent
New Haven Public Schools
Date:

DATA RECIPIENT

**By: Brandon G.
Romanchok**

Digitally signed by Brandon G.
Romanchok
Date: 2021.09.16 09:36:31 -04'00'

**Brandon G. Romanchok, Senior Contract Manager
Yale University, Office of Sponsored Projects
Date:**

List of persons with access to Resultant Data described in P20WIN DSA section V.E.

Name	Role	Organization
Seth Zimmerman	PI	Yale University
John Eric Humphries	Co-PI	Yale University
Xiaoyang Ye	Researcher	Brown University
Adam Kapor	Researcher	Princeton University
Christopher Neilson	Researcher	Princeton University
Sergio Arango	Research Assistant	Yale University
Manuela Cardona Badillo	Research Assistant	Yale University
Eric Solomon	Research Assistant	Yale University

CT Preschool through Twenty & Workforce Information Network (P20 WIN)

DATA REQUEST DOCUMENT

This form and all attachments are to be submitted to the P20 WIN Data Governing Board for consideration and approval before the execution of each Data Request.

Information provided here is required to fulfill the mandatory provisions for written agreements according to the Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. §1232g and to comply with Unemployment Compensation (UC) considerations under state (CGS § 31-254) and federal (20 CFR 603) law. PERSONS WHO ARE NOT STATE GOVERNMENT EMPLOYEES OR OFFICIALS MAY NOT HAVE ACCESS TO PERSONALLY IDENTIFIABLE INFORMATION (Pii) FOR DOL UC RECORDS.

SECTION 1 – BASIC DATA REQUEST INFORMATION

1.a Application Submission Date: 1/22/2021

1.b TYPE OF SUBMISSION: Initial Application Continuation* Modification**

*Initial applications are approved for a given duration. Select 'continuation' if this request is to extend that timeframe.

** If you are requesting a modification to a request that has already been approved and is underway, select 'Modification' and address only the sections of this form which are being adjusted from the prior request.

1.c P20 WIN Data Request Number:

1.d Data Request Title: The effects of affordable pre-Kindergarten on school diversity, student outcomes, and parental labor supply

1.e Agencies from which data is being requested (Check all that apply):

OEC SDE CSCU Department of Labor Cicu-IRPS UCONN

1.f Has this Data Request been discussed with program employees at the involved agencies?: Yes No

If yes please indicate with whom:

Agency: Department of Education

Name: Ajit Gopalakrishnan

Agency: OPM

Name: Scott Gaul, Katie Breslin

Agency: DOL

Name: Patrick Flaherty

Agency: OEC

Name: Rachel Leventhal-Weiner

Agency: Office of the Governor

Name: Mohit Agarwal

SECTION 2– REQUESTOR INFORMATION

2.a Name (last, first) Seth Zimmerman

2.b Title Associate Professor of Economics

2.c Organization Yale University School of Management

2.d Mailing Address PO Box 208200, New Haven, CT 06520-8200

2.e Email Address seth.zimmerman@yale.edu

2.f Phone Number 413-478-0466

Fax Number N/A

2.g Provide Full name, organization, email address, and project role for ALL other persons within the requestor's organization who need to work with raw data, derived data or data output for this project before the P20 WIN Data Governing Board Participating Agencies involved have approved the data as appropriately aggregated for public release. Add additional space as necessary. Please print and attach a signed Confidentiality Agreement for each individual needing access to the resultant data set. (See Attachment C) Note: Persons who are not state government employees or officials may not have access to Pii for DOL UC records.

Seth Zimmerman, Yale University, seth.zimmerman@yale.edu, primary investigator

John Eric Humphries, Yale University, johneric.humphries@yale.edu, co-investigator

Xiaoyang Ye, Brown University, xiaoyang.ye@brown.edu, co-investigator

Christopher Neilson, Princeton University, cneilson@princeton.edu, co-investigator

Adam Kapor, Princeton University, akapor@princeton.edu, co-investigator

Manuel Martinez, Yale University, manuel.a.martinez@yale.edu, research professional

Maria Elena Guerrero, Yale University, mariaelena.guerreroamezaga@yale.edu, research professional

Jan Knuf, Yale University, jan.knuf@yale.edu, research professional

2.h Provide full name, organization, email address and project role for all other persons from the Participating Agencies or Contributing Institutions who have been identified as having legitimate interests in the evaluation who need to access raw data, derived data or any data output for this project before the P20 WIN Data Governing Board Participating Agencies involved have approved the data as appropriately aggregated for public release. For these individuals, access to the unit record data is limited. For example, named individuals may a) need access to data to support the data matching process or b) function as a subject matter experts from the Participating Agencies to support the data matching process or authorized requestor's analysis, or c) they may only have access to their own organization's data linked to other non-education records. After each name, please include an explanation as to why these individuals need access to the unit record data. If not already signed, please print and attach a signed Confidentiality Agreement for each individual needing access to the resultant data set. (See Attachment C). Note: Persons who are not government employees or officials may not have access to Pii for DOL UC records.

Marquelle Middleton, New Haven Public Schools, MARQUELLE.MIDDLETON@new-haven.k12.ct.us

Michele Bonanno, New Haven Public Schools, MICHELLE.BONANNO@new-haven.k12.ct.us

Mr. Middleton is the director of school choice at the New Haven Public Schools and Ms. Bonanno is the magnet school coordinator. They will be providing data from NHPS for the merge to P20 WIN records.

3.a Provide a brief summary of the Data Request. Include a description of the categories of data, years or data and cohorts of students – if applicable. Provide enough detail so that the Participating Agencies can understand what they need to provide.

This data request will enable a comprehensive analysis of the benefits of free pre-Kindergarten to students, localities, and the state. We are requesting SDE-SLDS, OEC, and DOL-UI data from P20 WIN Data Agencies for the following groups: 1) students who applied to NHPS pre-K lotteries between 2003 and 2020; 2) students enrolled in NHPS schools over this period; 3) students who enrolled in other Connecticut pre-K programs over this same period. For each data set, we are requesting the period 2003-2020 or the largest time-window available in this range. For the DOL data, we are requesting 2000-2020 as this will provide three years of earnings and employment trends for parents prior to the first lottery in 2003.

P20-WIN data are crucial to this project for three reasons. First, SDE data include records for students who attend districts other than NHPS. This is critical to our research design, since many students who apply to or start out in New Haven Pre-K programs eventually end up in other Connecticut districts. A credible study of NHPS pre-K programs must include outcomes for these students. We will then use the data to study future school performance, graduation, and college enrollment.

Second, DOL data will allow us to see if labor-market attachment increases shortly after high school graduation for the earlier cohorts and, if linkage is possible, how parental labor supply changes in response to receiving a slot in the NHPS pre-K programs. We are also interested in outcomes related to benefits receipt for both parents and children, if such data are available. We provide more detail on programs of specific interest below. We look forward to communicating directly with DOL about data availability and merge procedures and are happy to provide any support we can in this process.

Third, we are requesting OEC data on Care4Kids and the more recent Early Childhood Information System to evaluate if receiving a NHPS pre-K slot causes families to substitute away from other state-funded programs.

3.b Clearly state the purpose of this request and describe how the purpose is an audit or evaluation of federal or state supported education program(s) (See Audit or Evaluation Exception 20 U.S.C. 1232g(b)(1)(C), (b)(3), and (b)(5) and §§99.31(a)(3) and 99.35).

We propose to evaluate the impacts of free pre-Kindergarten (pre-K) on short- and long-run outcomes for students and families by combining data from the New Haven Public Schools (NHPS) with data from P20-WIN. The goal is to provide a comprehensive picture of the benefits of pre-K programs to individuals, localities, and the state.

This is a question of broad policy interest, and New Haven is an ideal setting in which to investigate it. NHPS has multiple magnet schools, which offer 1- or 2-year pre-K programs. For students who receive a slot, these programs provide free high-quality pre-K with few restrictions on eligibility. Ordinarily, understanding the causal effects of free pre-K on students and families is hard to do because students who enroll in free pre-K may be different than those who do not. In this case, however, NHPS' system of awarding pre-K spots using lotteries allows us to conduct a convincing evaluation of the effects of pre-K access. We will compare outcomes for families and students who receive randomly-allocated offers of pre-K placement to those who do not.

The project will address four research questions:

1. How does access to free pre-K affect students' academic, labor market, and social safety net outcomes?

2. How does access to free pre-K affect students' use of other state- and federally-subsidized pre-K programs, such as Head Start, Care 4 Kids, School Readiness, and Smart Start?
3. How does access to free pre-K affect parents' labor force participation, earnings, and participation in safety net programs in the short- and long-run?
4. How do free pre-K programs affect the racial and ethnic integration of school districts?

Overall, we are providing a rigorous evaluation of the pre-K programs offered by NHPS's magnet schools. These programs are supported by both state and federal funds.

3.c Describe the benefit that this audit/evaluation will provide to a local or State Education Authority or Agency (34 C.F.R. 99.1) and the state of Connecticut. Note requests that only provide audit or evaluation of non-state Participating Agencies will not be approved.

Broadly speaking, answers to the proposed research questions will support P20 WIN's research agenda, particularly with reference to understanding (1) students at the lowest levels of readiness and (2) overcoming barriers to success.

Concretely, this research will provide insight into four pathways through which free pre-K may affect student outcomes, parental outcomes, and utilization of other state resources: (1) we will evaluate whether pre-K programs affect student enrollment, academic achievement, and graduation; (2) we will evaluate whether free pre-K programs affect parents' labor supply. Receiving a slot may reduce parents' time out of the labor force or cause some parents to enter the labor force; (3) we will evaluate whether pre-K programs affect college enrollment, employment, and earnings for affected students; and (4) we will evaluate whether access to free pre-K decreases use of other childcare subsidies and other social safety net programs among parents and children.

Findings from this research will help state and local policy makers understand the benefits of New Haven's free pre-K programs, how these programs change labor supply, and potentially how free pre-K helps families substitute away from other state and federal programs. We believe the findings of this research will be informative to Connecticut as a whole and are relevant to the larger national debate on early childhood education. In particular, we anticipate being able to provide a comprehensive account of the benefits of pre-K to different stakeholders. In addition, the research will help determine if the pre-K programs increase the diversity of the students who proceed to enroll in magnet schools for primary education.

3.d Provide a brief description of the method for analysis.

The proposed research would utilize the variation in pre-K placement associated with the pre-K lotteries to estimate the causal effect of receiving a pre-K offer on student and family outcomes. The research design allows us to estimate the benefits of pre-K for those who applied and received an offer as well as those who applied, received an offer, and enrolled in a program.

One technical challenge we anticipate is that families may apply to multiple pre-K magnet programs, so applicants who list multiple schools are more likely to get a slot. This can be addressed by controlling for application sets. In addition, applications provide useful information to the researchers, as they reveal information on families' underlying preferences or potential needs. For example, a family that only applies to a single magnet school pre-K program likely has different preferences or different outside options than a family that applies to every magnet pre-K program available. This unique institutional setting allows us to learn about the effects of the pre-K programs, and how those effects may depend on the preferences and needs of the families.

As part of the on-going research relationship with NHPS, we have generated preliminary evidence relating to research questions (1) and (2) above. First, we find that among those who apply, students who are offered pre-K slots score 0.2 standard deviations higher on math tests between grades three and eight, and more than 0.1 standard deviations higher on reading tests. Second, families who are offered slots are 20 percentage points more likely to then matriculate into NHPS for kindergarten. This 20 percentage point increase is also true for suburban applicants, who are an important population for increasing diversity within NHPS. These promising short-run findings suggest the possibility of long-run gains.

3.e Provide a description of the documents or reports that will reference data from this Data Request. For each report indicate the audience for the report and expected indicators or measures to be included in each.

We expect to submit a research paper for publication in a scholarly journal, the audience of which will be researchers as well as policy makers around the world. We will also submit a policy report to the New Haven Public Schools and relevant state agencies.

3.f In addition to utilizing a minimum cell size as documented by the Data Governance Procedure, identify/describe the statistical methods that will be used to minimize the risk of re-identification of PII for data to be published. Some typical methods are listed below; however, this list is not comprehensive. Options should be used in combination for maximum security. See the [USED Technical Brief 3](#) as a resource.

- **Suppression by:** cell, row, sampling (present data for a portion of students: e.g. 80%)
- **Blurring through:** aggregation of groups, rounding, use of ranges, use of top/bottom categories (e.g. 'less than 5%, greater than 95%'),
- **Perturbation:** data swapping, adding noise, use of synthetic data

It is expected that suppression and blurring will be the primary approaches used to protect personally identifiable information (PII) and minimize the risk of re-identification. We will not report any individual or personally identifiable information. Cells containing or referring to a count of less than 10 will be suppressed along with the cell with the next to smallest value. Additional strategies that may be used included providing multiple year averages for key data points. Some of the output will be model-based estimates and we will suppress un-needed coefficients (for example, district and year fixed effects from an OLS regression).

SECTION 4 – PROTECTION OF CONFIDENTIALITY

4.a By what date will the datasets and all paper or electronic copies will be destroyed by the requestor?

After the Approved Requestor has received data files and the matrix of generic unique identifiers, the Approved Requestor has 12 months to complete analysis and destroy the data files. Note, that the Data Governing Board may set a shorter or longer time frame before the data files must be destroyed, and this 12 month limitation may be extended with written approval from the Data Governing Board. Requestors need to submit the Query Management Document as a 'continuation' for approval of an extension.

All unit record data resulting from the query to the system will be destroyed by the research team within 12 months of the date of the receipt of the analytical data sets by the researchers.

4.b With the addition of your signature at the bottom of this section, indicate that you agree to each of the following statements:

- I will only utilize the data received through this Data Request to meet the purpose as described. The approval given to receive data through this Data Request does not confer approval to use it for another purpose.
- I will not re-disclose the data received through this Data Request approval process to any public official who has not been authorized by the Data Governing Board to receive it, and who has not also signed a Personal Statement of Confidentiality and Non-Disclosure.
- I will take the necessary and appropriate precautions to safeguard personal information and will comply with all state and federal laws concerning the safeguarding and disclosure of such information.
- I will not use the datasets to re-identify individuals.
- I agree that approval to receive data does not convey ownership of the data.
- I agree that prior to the public release of any documents or reports generated from this Data Request I will supply all reports or documents to the Data Governing Board for review and verification that the intended purpose has been adhered to.
- I agree to store all resultant data, in print or electronic form, in a locked receptacle that can be accessed by authorized persons only.
- I agree to store all resultant data on secure desktop computers and in secure files to which access is restricted to authorized persons only.
- I agree that no resultant data may be transmitted via email or placed or stored on a mobile computing or storage device. For purposes of this agreement, a definition of "mobile computing device" includes, but is not limited to, notebooks, palmtops, PDAs, iPods®, Blackberry® devices, and cell phones with internet browsing capability. A "mobile storage device" includes but is not limited to, mobile computing devices, diskettes, magnetic tapes, external/removable hard drives, flash cards (e.g., SD, Compact Flash), thumb drives (USB keys), jump drives, compact disks, digital video disks, etc.
- I agree to destroy all confidential information obtained through this agreement as soon as such information is no longer needed.
- I agree that the Data Governing Board will be allowed access to monitor all authorized users to ensure such users adhere to the confidentiality requirements of the information obtained under this Agreement.
- I agree to comply with all provisions of the P20 WIN Data Request Management Procedure.

I Seth Zimmerman agree with each of the statements in section 4.b.

SECTION 5—ADDITIONAL INFORMATION

5.a Provide any additional comments that would be useful to the Data Governing Board in considering this request.

The proposed project relies on combining NHPS data on school choice, school enrollment, and academic outcomes with P20-WIN data on academic and labor market outcomes. NHPS will provide their part of the data as part of an ongoing partnership with the researchers. *Attached to this proposal is a letter from Assistant Superintendent Ivelise Velazquez describing NHPS' support.* The current partnership builds on a productive working relationship between the researchers and NHPS. The results of this partnership include both research published in top academic journals and concrete changes in NHPS' school choice policies. We build on relationships, infrastructure, and personnel already in place. We would be happy to extend our research partnerships to other participating agencies to help support policy relevant questions that this project may be able to answer.

SECTION 6 – SIGNATURE OF REQUESTOR AND DATE

6.a Signature of Requestor

I understand that the entities that are providing data to P20 WIN (hereinafter Participating Agencies) have made reasonable efforts to ensure that the data available through P20 WIN are up-to-date, accurate, complete and comprehensive at the time of disclosure. These records reflect data as reported to the Participating Agencies by their data-submitting organizations for the reporting period indicated. Changes or updates to the data may occur after the time of disclosure and may impact data that have previously been made available. The Participating

Agencies are not responsible for data that are misinterpreted or altered in any way. Derived conclusions and analyses generated from this data are not to be considered attributable to the Participating Agencies or the participating organization(s) from which the data originated.

I certify that the information supplied in this form, with attachments, is complete, accurate. The analysis will be conducted according to the protocol approved by the Data Governing Board, applicable federal, state and local laws regarding the protection of education records and unemployment insurance records. I will ensure that all protocol changes will be prospectively reviewed by the Data Governing Board. I will request approval from the Data Governing Board for changes to the Data Request and will not implement proposed changes until I receive Data Governing Board approval. I will promptly report to the Data Governing Board any related complaints, problems, and/or breaches of confidentiality.

Signature 

Date January 22nd, 2021

ATTACHMENT A - DATA ELEMENTS FOR DATA REQUEST - GROUPED BY DATA AGENCY

Provide the name of each element needed from each data source including elements needed to link data sets. Identify the values of e Add as many rows as necessary.

CT Department of Education		CT Office of Early Childhood	
Data Element Name	Definition	Data Element Name	Definition
Gender	The concept describing the biological traits that distinguish the males and females of a species. "M" = male, "F" = female	RecordType	Batch Upload Process Record Type = 'Create' 'Create and Enrollment' 'Enrollment' 'Create Pending' 'Update' 'Exit'
NSC_GraduatingHS_Sch	based on NSC file	EnrollmentId	Enrollment ID is an ID number associated with SASID and specific funding type and dates for an enrollment record.
NSC_GraduatingHS_Sch	College Board/ACT high school code.	FacilityCode	Facility Code that is associated to the Early Care and Education Facility or School - 7 digit code from the CSDE Directory Manager and ECIS access portal.
NSC_GraduatingHS_Sch	based on NSC file	FacilityName	Name of the Early Care and Education Facility or School
SDE_GraduatingHS_Sch	CSDE facility code of school based on PSIS Registration (LastFacility1 in StudentResearch)	SASID	State Assigned Student Identification Number. 10 digit unique identifier being assigned to a child.
SDE_GraduatingHS_Sch	Name of high school from which the student graduated based on PSIS Reg (LastFacility1 in StudentResearch)	LastName	Child's legal last name that appears on the child's birth certificate or document indicating legal name change.

<not listed> CollegeName	The college enrolled in as listed by the National Student Clearinghouse	FirstName	Child's legal first name that appears on the child's birth certificate or document indicating legal name change.
CollegePublicPrivate	Indicates whether the college that the student attended is a "Public" or Private" institution.	MiddleName	Child's legal middle name that appears on the child's birth certificate or document indicating legal name change.
CollegeState	State in which the college is located	Suffix	Generation Suffix JR III IV
CollegeYears	Type of college that the student attended: 4 = 4-year or higher institution; 2 = 2-year institution; L = less than 2-year institution	DateOfBirth	Child's Date of Birth. Format MM/DD/YYYY
EndDate	End date for the student's period of attendance. YYYYMMDD	GenderCode	Gender of the Child F-Female M-Male U-Unknown
EnrollmentStatus	Full-time, Half-time, Less than half-time, Leave of absence, Withdrawn, Deceased	StateOfBirth	State or Country where child was born. Name of State is not abbreviated.
StartDate	Begin date for the student's period of attendance. YYYYMMDD	TownOfBirth	Town or City child was born. Name of Town or City is not abbreviated.
Degree_Title	Title of college degree	ParentsMaidenName	The parents, usually the surname prior to marriage.

Graduation_Date	Date upon which the	Birth Certificate ID number found on the child's Birth
Major_Title	If available, the major	Y-Yes if Child's Ethnicity is Cuban, Mexican, Puerto Rican,
BirthYear	Year portion of Date of	American Indian or Alaska Native: A person having origins
EntryDate	Date of student's entry	Asian: A person having origins in any of the original
ExitDate	Date of student's exit	Black or African American: A person having origins in any
ReportingDistrictName	Name of District	Native Hawaiian or Other Pacific Islander: A person having
ReportingDistrictNumbr	District code for	White: A person having origins in any of the original
AmericanIndianOrAlaska	A person having origins	The person with whom the child resides:
Asian	A person having origins	Street Number associated with the address where the
BirthYear	Year portion of Date of	Street Name associated with the address where the child
BlackOrAfricanAmerican	A person having origins	Additional street address. Apt Number, Floor, etc.
ELL	English language	Child's current Town of residence. Town must not be
FreeReducedLunchEligil	Indicator of student	Child's current State of residence. State must not be
Gender	The concept describing	Zip Code for child's current residence. Format 5 Digit Zip
GradCohort_FallOfYear	Nat'l. Gov. Alliance	Zip Plus Four
GradCohort_SIFYear	Nat'l. Gov. Alliance	NumberOfPeopleInH Total number of individuals living in the household
HispanicOrLatino	An indication that the	AnnualFamilyIncome Amount of annual family income from employment
IsExitTypeGraduated	Designation from last	DateFamilyIncomeDc The date the annual income documentation was received
LastExitDate	Date of exit from last	FamilyIncomeNotDis Indicates that the family was not willing to give annual
LastExitType	Exit Type from last	TransportationProvic Transportation provided to or from an OEC funded
LastFacility1_SchoolCoc	Facility code from last	FacilityGroupName The name of the Facility Group or larger organization that
LastFacility1_SchoolNar	Name of last Facility	FacilityEntryDate Date the child began attendance at the facility. Format
LastFacility2_SchoolCoc	SDE Facility 2 code	FacilityExitDate Date the Student Ended attendance at the facility. Format
LastFacility2_SchoolNar	SDE Facility 2 Name	ExitCategory Exit Category associated with Reason that the Child Exited
LastReportingDistrictNe	District Name from last	ExitReason Reason that the Child Exited the Facility. Associated with
LastReportingDistrictNl	District Code from last	FundingType Funding type associated with the child's enrollment.
LastResidentTownName	Resident Town Name	SpaceType Space Type associated with the child's enrollment and
LastResidentTownNum	Resident Town code	StartDate Date the Funding for the child starts related to the
LegacyRaceCode	Race Code used by SDE	EndDate Date the Funding for the child ends related to the
LegacyRaceText	Description of Race	SpaceTypeSubCatego Additional space subcategory type associated to Head
NativeHawaiianOrOthe	A person having origins	Oec Family Fee required per OEC ECE Fee Schedule.
NSC_CollegeDegreeTitl	If available, the title of	Care4Kids Care 4 Kids (C4K) CCDF Child Care CCDF Subsidy
NSC_CollegeGraduator	Date of student's	NoAdditionalFunding No Additional Fees or Funding associated with Enrollment.

Connecticut Early Childhood Information System - Early
 Parent Organization Identification Number that is
 ECIS Student Identification #
 Date and Time Record Created
 Date and Time Record Modified
 User Name who Created Record
 User Name who Modified Record
 Student Enrollment Date relating to in ECIS, PSIS and
 SASID Manager Identification Number

BatchId
 OrganizationId
 StudentId
 DateCreated
 ModifiedDate
 ModifiedBy
 CreatedBy
 EnrollmentDate
 SASIDManagerId
 RaceCode

NSC_GraduatingHS_Sch College Board/ACT
 NSC_GraduatingHS_Sch SDE facility code from
 NSC_GraduatingHS_Sch Name of high school
 NSC_IsCollegeGraduate Graduation status
 NSC_IsFound NSC Detail report does
 RaceEthnicityReporting Single column
 SpecialEd Presence of an
 White A person having origins
 Administered_FallOfYe: Year of Fall of school
 Administered_SIFYear Year of Spring of school
 Administered_StudentGrade of student
 LevelScore The student's
 ScaleScore A conversion of a
 TestType Name of standardized
 TestVersion Version/generation of
 AttendanceDays Days student attended
 FallOfYear Year of Fall of school
 MembershipDays Days student could
 SIFYear Year of Spring of school

<not listed> Schools attended Which specific schools attended.

each element codes set that are necessary.

CT Department of Labor	
Data Element Name	Definition
Year	Year in which wages were received
Quarter	Quarter in which wages were received
SSN	SSN of Employee
Wage	Total wages paid by all employers in Quarter
Last Name	Last Name of Employee
First Initial	First Initial of Employee

NAICS Code	Industry Code of Employer Paying Highest Wage
<not listed> Date of Birth	DOB from DMV records
<not listed> Race	Race from DMV records
<not listed> Sex	Sex from DMV records
<not listed> Address	Home address from DMV records
<not listed> Date DMV recorded created or last updated	Date record was created or last updated from DMV records
<not listed>	Unemployment benefits receipt start and stop dates

3-21-2021

Personal Statement of Confidentiality and Nondisclosure

Before you are allowed access to the information through the Preschool through Twenty and Workforce Information Network (P20 WIN), you are required to read, agree and execute the following statement of your knowledge, obligation and responsibility with respect to any data exchanged through P20 WIN.

- As an employee of _____, I have access to information provided through P20 WIN. This data shall not be used to make any decisions about the rights, benefits or privileges of those individuals identified through the matching process. Further, P20 WIN information is confidential, and may be used solely for the purposes of work defined in the approved Data Sharing Request Form, attached as Exhibit A to the Data Sharing Agreement (DSA).
- I have been informed and understand that all information related to this DSA is confidential and may not be disclosed to unauthorized persons. I agree that I am responsible for maintaining this confidentiality. I agree not to divulge, transfer, sell, or otherwise make known to unauthorized persons any information contained in this system. I agree to abide by all federal and state laws and regulations regarding confidentiality and disclosure of the information related to this DSA.
- I will not use the data for any purpose other than as described in Exhibit A to the DSA and I will not facilitate or tolerate by others any unauthorized use of information provided or generated.
- I agree to store all query data, in print or electronic form, in a locked receptacle that can be accessed by authorized persons only. I agree to store all query data on secure desktop computers and in secure files to which access is restricted to authorized persons only. I agree that no query data may be placed or stored on a mobile computing or storage device. For purposes of this agreement, a definition of "mobile computing device" includes, but is not limited to, notebooks, palmtops, PDAs, iPods®, Blackberry® devices, and cell phones with internet browsing capability. A "mobile storage device" includes but is not limited to, mobile computing devices, diskettes, magnetic tapes, external/removable hard drives, flash cards (e.g., SD, Compact Flash), thumb drives (USB keys), jump drives, compact disks, digital video disks, etc.
- I agree to destroy all confidential information obtained through this agreement as soon as such information is no longer needed.
- I agree that the Data Governing Board of P20 WIN will be allowed access to monitor all authorized users to ensure such users observe the confidentiality requirements of the information obtained under this DSA.
- I agree to notify my supervisor immediately of any breach or unauthorized disclosure of any information related to this Agreement.

This statement of non-disclosure shall be valid for a period of one year from the date of signature.

Employee: I have read and understand the above Personal Statement of Nondisclosure.

Signature _____

Printed Name _____

Organization _____

Job Title _____

E-mail Address _____

Date _____

CT Preschool through 20 & Workforce Information Network (P20 WIN)

DATA DESTRUCTION CERTIFICATE

This form is completed in order to document that the unit record data received through P20 WIN has been destroyed. Data destruction is required at the end of a project or in the event of a termination of the Data Sharing Agreement for a P20 WIN Data Request. The timeframe by which unit record data must be destroyed is specified in the Data Sharing Agreement. The Data Destruction Certificate must be completed and provided to the P20 WIN System Administrator within 3 working days of the destruction of data. The Data Requestor shall retain the original certificate for a period of one year after its submission to the Board.

SECTION 1 – BASIC INFORMATION	
1.	Approved Requestor Name:
2.	P20 WIN Data Request Name:
3.	Approved timeframe: _____ to _____ List extensions as appropriate: Extension to _____ granted on _____ Extension to _____ granted on _____
4.	Date of data destruction:
5.	Method of data destruction:
SECTION 2 – AFFIRMATION OF DESTRUCTION	
I hereby affirm that the unit record data provided as a part of the Data Request Number listed above has been completely destroyed including all original unit record data and any copies of the unit record data that were made in paper or electronic form.	
_____	_____
Signature of Approved Requestor or Agency Representative	Date

WHEREAS, there is momentum and mutual motivation in the executive and legislative branches of Connecticut government to build on the success of P20 WIN and other initiatives reliant on successful data sharing, including the Two-Generational (“2Gen”) Initiative, the Governor’s Workforce Council and the Governor’s Task Force on Housing and Supports for Vulnerable Populations;

WHEREAS, to build on the success of P20 WIN and its authority to establish and implement policies related to cross-agency data sharing management, including, but not limited to data privacy, confidentiality and security in alignment with the vision for P20 WIN and any applicable law, and to further the participation in data sharing between state agencies and other organizations for legitimate governmental purposes, to inform policy and practice for education, workforce and supportive service efforts, including but not limited to conducting research, audits, studies and evaluations of federal or state programs as prescribed in C.G.S. § 10a-57g and applicable federal laws, and any additional purposes authorized in the future through statutory changes by the Connecticut General Assembly and approved by the P20 WIN Executive Board, the P20 WIN Parties agree to the terms and conditions of this Enterprise Memorandum of Understanding (“E-MOU”), in collaboration with the Office of Policy and Management (“OPM”) pursuant to its statutory mandate (C.S.G. § 4-67n) to securely and effectively integrate and share data between agencies, and develop policies and procedures to support the same;

WHEREAS, C.G.S. § 10a-57g (6) defines “Participating Agency” as including the Connecticut State Colleges and Universities, Department of Education, Department of Labor, the Office of Early Childhood, the University of Connecticut, the Connecticut Conference of Independent Colleges, as well as “any entity that has executed an enterprise memorandum of understanding for participation in the P20 WIN and has been approved for participation pursuant to the terms of this E-MOU;”

WHEREAS, the entities that comprise P20 WIN and new state agencies or entities agree to enter into this E-MOU setting forth the terms and conditions of such data sharing; such state agencies and entities include the State Board of Education (“SBOE”), the Office of Early Childhood (“OEC”), the Connecticut State Colleges and Universities (“CSCU”), the Connecticut Department of Labor (“DOL”), the University of Connecticut (“UConn”), the Connecticut Conference of Independent Colleges (“CCIC”), the Connecticut Department of Social Services (“DSS”), the Office of Higher Education (“OHE”), the Connecticut Department of Children and Families (“DCF”), the Connecticut Coalition to End Homelessness (“CCEH”), and any other state agency or entity that is approved by the Parties to join and that agrees to the terms and conditions of this E-MOU in the future (individually referred to as a “Participating Agency” or collectively “Participating Agencies”), and the Connecticut Office of Policy and Management (“OPM” or the “Operating Group”) and the Connecticut Department of Labor (the Data Integration Hub)(collectively or individually, these entities may be referred to as a “Party” or “Parties”); and

WHEREAS, C.G.S. § 10a-57g(8)(d) authorizes the Executive Board of P20 WIN to appoint advisory committees to make recommendations on data stewardship, data system expansion and processes, and such other areas that will advance the work of CP20 WIN.

NOW, THEREFORE, the Parties mutually agree to the provisions set forth in this E-MOU.

I. PRELIMINARY STATEMENT

It is specifically understood that by entering this E-MOU and agreeing to its terms and conditions, each Participating Agency is not forfeiting any of its rights to its data, its autonomy to determine the use of and the sharing of any of its data or limit the re-disclosure of the shared data, or whether to share any of its data for a particular purpose. The Parties understand that the goal of this E-MOU is to increase data sharing for legitimate governmental purposes, including but not limited to the evidence-based policy-making to improve supportive services, education and workforce development outcomes in the State of Connecticut, the determination of resources and services allocation, and to make Data Sharing, when approved and authorized by the Participating Agency, more efficient and effective.

II. DEFINITIONS

For purpose of this E-MOU, the following definitions shall apply:

Anonymized Data (“Anonymized Data”) refers to Data that cannot be linked back to an individual and, as such, are not useful for monitoring the progress and performance of Individuals; however, such Data can be used for other research or training purposes.

Breach(es) (“Breach” or “Breaches”) shall mean all known or suspected incidents that result in or could reasonably result in the unauthorized access, use, or disclosure of any data transmitted or shared pursuant to this E-MOU that is protected by federal or state laws.

Data (“Data”) means statistical or other information that: (A) is reflected in a list, table, graph, chart, or other non-narrative form that can be digitally transmitted or processed; (B) is regularly created and maintained by or on behalf of an Participating Agency; and (C) records a measurement, transaction or determination related to the mission of the Participating Agency or is provided to such Participating Agency by any third party as required by any provision of law or contract.

Data Definitions (“Data Definitions”) are the plain language descriptions of Data Elements. The definitions should be specific enough to allow Users to fully understand the Data Elements.

Data Dictionary (“Data Dictionary”) is a listing of the names of a set of Data Elements, their definitions and additional Meta-data. A Data Dictionary does not contain any actual data; rather it serves to provide information about the data in a data set.

Data Elements (“Data Elements”) are units of information as they are stored or accessed in any data system. For example, education data elements about a student’s academic history could include: student ID number, course code, credits attempted, cumulative grade point average, etc.

Data Integration Hub (“Data Integration Hub”) is the Connecticut Department of Labor (DOL) and is the centralized enterprise Data matching service for P20 WIN with the Participating Agencies.

Data Recipient (“Data Recipient”) means any person, entity or organization that is a party to an approved Data Sharing Agreement that receives Data sets from Participating Agencies for legitimate state purposes.

Data Request Management (“Data Request Management”) means the required review and approval process for each Data Sharing request as described in full in this E-MOU and its Appendices, attached and incorporated hereto.

Data Sharing (“Data Sharing”) means the act of securely transferring Data with multiple users or applications, integrating different data sets between the Participating Agencies, the Data Integration Hub and Data Recipients. Data Sharing shall encompass the utilization of personally-identifiable information for the creation of anonymized personal information and aggregate information.

Data Sharing Agreement (“Data Sharing Agreement” or “DSA”) is a specific agreement that includes the specific terms and conditions that govern how Data are transferred, stored, matched and managed. It also outlines the role and responsibilities of the Data Recipient who has requested the data and includes the project objectives, methodology, Data fields and Data security plan (e.g., plan to mitigate the risk of re-identification in research project), dissemination plan, and timeline of project completion. The DSA will be signed by two (2) or more Participating Agencies providing their Data, the Data Integration Hub, and the Data Recipient and must be in compliance with this E-MOU. A DSA’s terms and conditions may differ depending on each Participating Agencies’ confidentiality and privacy requirements.

De-identification of Data or De-identified Data (“De-identification of Data” or “De-identified Data”) refers to the process of removing or obscuring any personally-identifiable information in a way that minimizes the risk of unintended disclosure of the identity of individuals and information about them. Specific steps and methods used to de-identify information may vary depending on the circumstances, but should be appropriate to protect the confidentiality of in the Individuals. While it may not be possible to remove the disclosure risk completely, de-identification is considered successful when there is no reasonable basis to believe that the remaining information provided through a single release or through a combination of multiple releases can be used to identify an Individual. De-identified Data is the result of the De-Identification of Data

Digital Credentials (“Digital Credentials”) means a mechanism, such as a public-key infrastructure or electronic signature that enables Participating Agencies to electronically prove their identity and their authority to conduct a Data transmittal to the Data Integration Hub.

Effective Date (“Effective Date”) shall mean the date of execution of this E-MOU by at least two (2) or more Participating Agencies, the Data Integration Hub, and OPM.

Individual (“Individual”) shall mean a client, person or entity whose data is maintained by a Participating Agency and potentially subject to exchange with other Participating Agencies.

Operating Group (“Operating Group”) is the Connecticut Office of Policy and Management (OPM) that facilitates the smooth and efficient operation of P20 WIN for the benefit of the Participating Agencies and the greater benefit of the State of Connecticut.

Personally-Identifiable Information (“PII”) means information capable of being associated with a particular individual through one or more identifiers, as defined in state and /or federal law, including but not limited to C.G.S. §§ 4e-70(4), 10-234aa(4), 10a-42h, 31-254, 31-701b(a), and 42-471; 20 CFR §603; 34 CFR Part 99.

Re-disclosure (“Re-disclosure”) means transfer or disclosure of PII to any other person or entity whose access to such PII or other identifying Data is not specifically authorized in this E-MOU.

Resultant Data (“Resultant Data”) is the Data provided by the Participating Agencies and the Data Integration Hub to the Data Recipient pursuant to a Data Sharing Agreement signed by two (2) or more Participating Agencies. Resultant Data includes original Data files received for analysis from Participating Agencies and a crosswalk of unique generic identifiers used to connect the analyzed data together. It also includes the working documents and derivative tables that are created from this analyzed data before the documents and tables have been reviewed according to the DSA and subsequently approved as appropriately aggregated for access to Users beyond those names in the DSA.

Specifications (“Specifications”) shall mean the specifications established by applicable federal and state law or adopted by the Data Governing Board that prescribe the Data content, privacy, confidentiality, technical and security requirements needed to enable the Participating Agencies and the Data Integration Hub to Transmit Data and protect Data at rest. Specifications may include, but are not limited to specific standards, services, and policies applicable to Transmission of Data pursuant to this E-MOU.

Transmit/Transmittal/Transmission of Data or Data Transmittal (“Transmit”, “Transmittal”, “Transmission of Data” or “Data Transmittal”) shall mean, in varying tenses, to share Data electronically using technology allowed by the Specifications.

User or Users (“User” or “Users”) shall mean employee of a Participating Agency or Data Integration Hub, or individual, agent, or entity (e.g., an independent contractor), who has been authorized to access the Data in accordance with the applicable DSA and any applicable Federal and State laws.

III. GOVERNANCE STRUCTURE, ROLES AND RESPONSIBILITIES

P20 WIN shall have a cross-agency data governance system that provides the structure to create and implement the necessary policies and procedures for a multi-agency Data Sharing system to address

broad policy questions and state needs. To achieve this goal, pursuant to P20 WIN's authority set forth in C.G.S. § 10a-57g to establish boards and advisory committees, there shall be an Executive Board, a Data Governing Board and a Resident Advisory Board whose tasks are set forth below. Together these groups shall provide P20 WIN Data Sharing process leadership, policy creation, system implementation, maintenance, and improvement. All members of the Boards will be voting members, each with one (1) vote, except that any member that is not a representative of a state agency shall be disqualified from participating and voting in decisions pertaining to the use of public funds or resources.

- A. Together, the P20WIN governance bodies shall work in concert to ensure that the following processes operate smoothly:
1. Response to data requests. The Operating Group shall receive and manage the Data Sharing Request Forms (Exhibit A to the Data Sharing Agreement and support the Data Governing Board members involved in the Request in accordance with the Data Sharing Management procedure described in Section XI.
 2. Determination of authorized Users and access rights. In accordance with applicable law and this E-MOU, the Data Governing Board shall: (a) establish a process to approve the Users who are to have access to data (de-identified or identified) and are named in the Data Sharing Request Form, and (b) establish the parameters for Data Transmission and Data destruction.
 3. Development and maintenance of cross-agency Data Dictionary. The Data Governing Board shall be responsible for ensuring that the Data Dictionary for each Participating Agency is complete and up-to-date.
 4. Addition, Suspension and Readmission of Participating Agencies. The Executive Board shall approve a protocol for expanding the Data Sharing process to include additional agencies or organizations or additional Data so that the technical infrastructure is expanded, and new Participating Agencies have representation in the named committees. New Participating Agencies shall be added in accordance with Appendix 1. The suspension and readmission of Participating Agencies shall also be determined by the Executive Board in accordance with Appendix 1.
 5. Responsibility for P20WIN Policies, Staffing and Financial Support. The Executive Board shall have overall fiscal and policy responsibility to sustain and improve the Data Sharing process, including how the Operating Group and the Data Integration Hub will be staffed and supported financially.
 6. Modification of policy. The Data Governing Board may make recommendations to the Executive Board to modify policies and procedures in accordance with Appendices 3 and 4.

IV. EXECUTIVE BOARD

The Executive Board is a multi-agency committee that shall provide vision, oversight and leadership for the data governance structure. The Executive Board shall consist of the members as defined in C.G.S. § 10a-57g. The Executive Board shall have ultimate policy decision-making authority for the P20WIN Data Sharing process. Each member shall hold staff within their respective agencies accountable to the goals

of the system. Executive Board members shall work to support and continue to secure resources for the Data Sharing process and its efficient operation, thereby adding value to their respective agencies and to Connecticut as a whole.

The Executive Board shall elect a Chairperson. The Chairperson shall be a State official or employee and shall conduct all Executive Board meetings, represent the P20WIN Data Sharing process, and work with all Participating Agency leaders and political leaders to assure agency-to-agency coordination and to further data sharing to improve services provided to the residents of Connecticut. The Chairperson shall lead the Executive Board to set the direction for the Data Sharing process and shall work with the Operating Group on agenda setting and operational matters. The Chairperson shall be elected by the full Executive Board and will serve a term of two (2) years. On matters requiring votes, the Chairperson shall vote to break a tie.

A. Responsibilities:

1. Attend regular Executive Board meetings to be held quarterly.
2. Define, develop and advance a vision and supporting policies to use the Data Sharing process for legitimate State purposes, including but not limited to informing operations and service delivery, conducting research, studies, audits and evaluations, developing reports and indicators and any additional purposes in the future through statutory changes by the Connecticut General Assembly and approved by the Executive Board, subject to all federal and state laws and regulations.
3. Each member shall identify a representative to serve on the Data Governing Board.
4. Convene to respond to escalated issues from the Data Governing Board.
5. Have overall fiscal and policy responsibility for P20WIN.
6. Identify and work to secure resources necessary to sustain the P20 WIN.
7. Champion the implementation, maintenance and improvement of P20 WIN by advocating for the Data Sharing process in regard to policy, legislation and resources.
8. Members shall not only represent the interests of their Participating Agency and clients and, consistent with applicable law and their Participating Agency's authority, shall work to support the state's vision of Data Sharing and improved Data Sharing using the Data Integration Hub.
9. Assist the Data Sharing process to ensure that the work always promotes equity and that research and data sharing efforts do not disparately impact consumers or families.
10. Make recommendations to the Operating Group regarding fiscal and budgetary issues for the Data Sharing process.
11. Ensure the proper use of and monitor circumstances in which public funds or resources that are to be jointly utilized with those from private entities (such arrangements are governed by appropriate Data Sharing Agreement).
12. Add, suspend and readmit Participating Agencies in accordance with Appendix
13. Establish bylaws to govern its procedures.

- B. The Executive Board shall have the authority to create standing or special committees (e.g., legal committee; data steward committee) when necessary.

The Executive Board will meet, with appropriate prior publication of notice of the meeting consistent with the requirements of Chapter 14, including but not limited to C.G.S. §§ 1-206 and 1-225 -232.

The role and responsibilities of the Executive Board shall not replace the role of an Institutional Review Board.

V. DATA GOVERNING BOARD

Pertaining to any Data Sharing pursuant to this E-MOU, and in compliance with federal and state laws, the Data Governing Board shall establish policies related to cross-agency data management, including but not limited to, data privacy, confidentiality and security in conformance with applicable law. It shall also develop recommendations on policies and practices that need to be developed or improved and shall be responsible for implementing the processes necessary to carry out the approved policies. The Data Governing Board shall provide oversight for the technical implementation of the Data Sharing process and shall be responsible for ensuring the availability, privacy, confidentiality, security and quality of data shared through the Data Integration Hub and with Data Recipient(s). Each Party shall appoint to the Data Governing Board one (1) staff to fulfill the responsibilities defined in C.G.S. § 10a-57g. Members shall work collaboratively to develop policies necessary for the implementation, maintenance, security, privacy, confidentiality and improvement of the Data Sharing process.

A. Responsibilities:

1. Attend regular Data Governing Board meetings to be held monthly.
2. Establish data governance policies to enable, improve and sustain the Data Sharing process and the Data Sharing Requests from the point of application through completion, including but not limited to the Data Sharing Management procedures pursuant to Section XI of this E-MOU. All policies and actions of the Data Governing Board shall further
3. the vision of P2OWIN, including the prioritized research agenda established by the Executive Board and shall be consistent with this E-MOU. In accordance with applicable law and this E-MOU, provide the appropriate Data from their respective Participating Agency source systems to support the accurate and effective implementation of the Data Sharing process.
4. Review and approve Data Sharing Requests, data output and resulting publications prior to release in accordance with applicable law and in accordance with Section XI of this E-MOU and pursuant to the Participating Agencies agreeing to share their data pursuant to a signed Data Sharing Agreement.
5. Identify, as needed, additional data stewards and subject matter experts to implement the Data Sharing process and to provide recommendations to the Data Governing Board to improve the Data Sharing process.
6. Specify and produce guidance for reports that the Data Sharing process produces on a regular basis.

7. Establish a process to regularly review, and on an annual basis, produce a report on the efforts of P20 WIN to promote equity and that research and data sharing efforts do not disparately impact consumers or families.
8. Maintain a protocol for expanding the Data Sharing system to include additional agencies or data pursuant to Appendix 1.
9. Members of the Data Governing Board shall not only represent the interests of their Participating Agency and/or clients but consistent with applicable law and their agency's authority, work to support the State's vision of data sharing and the Data Sharing process.
10. Develop data standards and data cleansing processes.
11. Develop, document and monitor Data Definitions and Metadata for shared Data Elements within the cross-agency Data Dictionary, using State guidance on Metadata standards.
12. Evaluate the quality of the technical process for matching data and quality of the data available through the P20 WIN Data Sharing system.
13. Develop policies and procedures, including but not limited to policies and procedures to ensure data privacy, confidentiality and security.
14. Receive reports of a Breach or a suspected Breach pursuant to Appendix 2, and receive confirmation from Participating Agencies and the Data Integration Hub when the security of their systems has been restored after Breaches. Notification of a Breach to the Data Governing Board does not relieve the Participating Agency and the Data Integration Hub of its responsibilities or possible liabilities under applicable state and federal law, including but not limited to any required notifications that a Breach has occurred and any related notifications required due to a Breach of any shared information, including but not limited to the Attorney General's Data Security Department.
15. Consult with OPM, in accordance with the provisions of C.G.S. §§ 4-67n, 4-67p and 10a-57g and other applicable statutes and policies.
16. Manage the amendment process of this E-MOU in accordance with Appendix 3 and Appendix 4.
17. Provide recommendations to the Executive Board whether to agree to the creation of additional centralized enterprise Data matching services, available to the Participating Agencies, in accordance with Appendices 3 and 4.
18. Establish bylaws to govern its procedures.

The role and responsibilities of the Data Governing Board shall not replace the role of an Institutional Review Board.

VI. RESIDENT ADVISORY BOARD

Data sharing by governmental agencies should incorporate the knowledge and expertise of the persons whose data are being used. In order to be proactive and transparent, the Executive Board shall develop a plan to create a Resident Advisory Board with members representing residents of Connecticut, including a majority of persons who receive or received state services and benefits. The Resident

Advisory Board shall provide advice and guidance to the Executive Board and the Data Governing Board on how to communicate its work and mission to State residents:

A. Responsibilities:

1. Advise the Participating Agencies in earning public trust in the work of the Data Sharing process.
2. Invited to attend regular Data Governing Board meetings.
3. Assist the Data Sharing process to ensure that the P20 WIN promotes equity and that research, evaluation and data sharing efforts do not disparately impact consumers or families.
4. Share insight on projects, policies and procedures, and how to prevent any use of data for malevolent purposes, or that might result in profiling or other malevolent impact, specifically on issues of informed consent, assent, notice, privacy, data retention and destruction, and equity in data.

B. The Resident Advisory Board members are or were recipients and end users of State services, and shall provide insight and recommendations from their life experiences. The members of the Resident Advisory Board shall be compensated for their time and contributions.

1. Participating Agencies and the Operating Group will work to identify funding sources, through shared resources, philanthropic organizations or federal grants, to provide training, administrative support and other assistance to the Resident Advisory Board members.
2. Funds accumulated from fees paid by Data Recipients through the data request process may be a funding source for this purpose.

C. Members of the Resident Advisory Board shall be nominated by the Executive Board. Each member shall serve for a 2-year period, except for the first group of members who shall have staggered terms for different time periods.

The role and responsibilities of the Resident Advisory Board shall not replace the role of an Institutional Review Board.

VII. OPERATING GROUP AND DATA INTEGRATION HUB

The following is the delineation of the roles and responsibilities of the Operating Group (OPM) and the Data Integration Hub (DOL). The goals of the Operating Group and the Data Integration Hub are to provide the P20 WIN Data Sharing process with quality service, timely resolution to issues and superior performance that will enable the participating agencies to achieve the P20 WIN vision. The Operating Group and Data Integration Hub have shared responsibility to host and operate P20 WIN, with the Operating Group serving as the lead agency responsible for the operations of P20 WIN and the Data Integration Hub responsible for hosting, linking and Transmitting Data.

A. Operating Group (OPM)

1. Responsibilities:

- a. Support the Executive Board and the Data Governing Board and facilitate a smooth and efficient operation for the benefit of the Participating Agencies and the greater benefit of the State and its residents.
- b. In collaboration with the Participating Agencies, develop a budget for each biennial budget term to support costs across all Participating Agencies associated with ongoing operation, maintenance and improvement of the Data Sharing process.
- c. Develop and submit a budget request for the Operating Group and the P20 WIN Data Sharing process costs, based on recommendations from the Executive Board.
- d. In collaboration with Participating Agencies, develop appropriate and necessary legal documents to distribute funds for the P20 WIN Data Sharing system as defined in the approved budget.
- e. Provide financial back-office support for managing the receipt and distribution of funds according to the fully executed Data Sharing Agreement.
- f. Provide program management to support the continued operation, maintenance and improvement of the Data Integration Hub as a resource for the Participating Agencies and the State.
- g. Serve as the primary point of contact for incoming Data Sharing Requests and coordinate communication between Data Recipients and the Participating Agencies as necessary to support the completion of documents required by the Data Sharing process.
- h. For each approved DSA, facilitate communication between the Data Recipient, Participating Agencies and the Data Integration Hub to ensure the process for fulfilling the terms of the DSA are progressing.
- i. Provide for meeting space and materials for the Executive Board and the Data Governing Board meetings as needed, including public notice as required.
- j. Coordinate and prepare reports on Data Sharing activities and outcomes for legislative and funding stakeholders.
- k. Facilitate any audits that are requested and required by any Party.
- l. Implement the current fee policy from Data Recipients.
- m. Maintain the official, executed version of this E-MOU, along with all Appendices , in an electronic form.

B. Data Integration Hub (DOL)

1. Responsibilities:

- a. Enter into Data Sharing Agreements with Participating Agencies and Data Recipients.
- b. Maintain a secure server that supports approved data matching software and/or methods so that matches can be conducted at optimum speed, privacy, security and accuracy.

- c. Retain data matching software, implement procedures, and document data matching methods that have been approved by the Data Governing Board for the purpose of facilitating Data requests using the Data Integration Hub.
- d. Utilize the data matching software and/or methods approved by the Data Governing Board to conduct matches between Data sets from participating agencies for approved Data Sharing Requests.
- e. Comply with the provisions of the applicable federal and state data security, confidentiality and privacy requirements. Nothing in this E-MOU may be construed to allow the Data Integration Hub to maintain, use, disclose, or share data in a manner inconsistent with applicable federal and state laws and regulations or inconsistent with the terms of this E-MOU.
- f. Transmission and storage of all Data received by a Data Integration Hub shall be in full compliance with all state and federal legislative and regulatory requirements related to information security, including but not limited to, commercially-available and widespread precautionary measures, such as firewall implementation, virus scanning, security access control software, encryption of data as it leaves the data boundary, secure tunnels and limitation of physical access to confidential information and personally identifiable information.
- g. Upon the written request from a Party, the Data Integration Hub shall disclose and permit a Party to inspect and audit data confidentiality, privacy or security protocols, practices, and policies to ensure compliance with the terms of this E-MOU and applicable federal and state laws.
- h. The Data Integration Hub shall:
 - 1) Only utilize Data received to fulfill an authorized Data Sharing Request pursuant to a Data Sharing Agreement in accordance with applicable federal and state laws and regulations. Authorization given by Participating Agencies via a Data Sharing Agreement to the Data Integration Hub to use Data for one purpose does not confer approval to use it for any other purpose.
 - 2) Not re-disclose, duplicate or disseminate (except as necessary to fulfill the stated purpose of a particular Data Sharing Agreement), or convey ownership of any portion of the shared Data and records in any media format without the prior written approval from the particular Participating Agency which provided the Data.
 - 3) Transmit all Data via a secure connection approved by the State Information Technology Policy, such as a Virtual Private Network (VPN) or Secure File Transfer Protocol (SFTP) connectivity.
 - 4) Only transmit, via electronic mail, Data Sets that have been appropriately de-identified according to applicable privacy, confidentiality, and security requirements, as outlined in the Data Sharing Agreement. No protected Data will be transmitted via electronic mail.
 - 5) Take all necessary steps to ensure that any protected identifiable information or other identifiable or confidential Data in the possession or control of the Data

- Integration Hub are destroyed in a timely fashion as provided in the Data Sharing Agreement; and
- 6) Abide by policies and procedures recommended by the Data Governing Board and adopted by the Executive Board.

VIII. DUTIES AND RESPONSIBILITIES OF PARTICIPATING AGENCIES

Each Participating Agency shall be responsible for the Data that reside in its respective system(s). This E-MOU shall only apply to Data that is shared with the Data Integration Hub through P20 WIN Data Sharing requests at the unit and aggregate levels. Notwithstanding any provision of this E-MOU or any Appendix hereto, each Participating Agency reserves the right to refuse to share or disclose any Data Elements or decline the Data Sharing request in its entirety, in its sole discretion, with documentation as to the reason for the refusal. Participating Agency agrees to:

- A. Execute this E-MOU. In doing so, the Participating Agency affirms that it has the requisite authority to enter and perform this E-MOU. The Participating Agency Executive or designee shall be the representative authorized to sign this E-MOU on behalf of the Participating Agency.
- B. Serve on the Executive and Data Governing Boards as described in this E-MOU.
- C. Comply with the provisions of this E-MOU and its Appendices.
- D. Participate in data governance processes in accord with this E-MOU and its Appendices.
- E. Prior to agreeing to provide its Data for a Data Sharing Request, verify and confirm that the Data required for the request is available and may be shared for the requested purpose.
- F. Abide by all policies and procedures recommended by the Data Governing Board and adopted by the Executive Board.

IX. DATA SOVEREIGNTY

Sovereignty of all data collected and maintained by each Participating Agency remains with the Participating Agency. The transmission of Participating Agencies' Data via the Data Integration Hub and subsequent data matching and disclosure of any Resultant Data pursuant to this E-MOU via a Data Sharing Agreement (DSA) do not change the ownership of the Participating Agency's Data and do not additionally assign any such rights to any other Party, entity or person. The DSA between the Participating Agencies, the Data Integration Hub and the Data Recipient ONLY controls the use and disclosure of such Data to the Data Recipient, and where approved by an Institutional Review Board (IRB).

X. FREEDOM OF INFORMATION ACT REQUESTS

If there is a request to a Party pursuant to the Freedom of Information Act ("FOIA") for Data in the possession of the Party which is owned by another Party, such Party shall coordinate with the Party that owns the Data to respond to the request. Such coordination shall be initiated within 24 hours, and no later than 48 hours of the receipt of the FOIA request.

XI. DATA SHARING MANAGEMENT

This Section describes the process for Data Sharing from more than one Participating Agency. If Data is requested from only one Participating Agency, this process and documentation does not apply and the Data Recipient may directly contact the specific Participating Agency.

- A. With support from the Operating Group, the Participating Agencies providing Data and the Data Recipient shall identify details specifying the intended purpose, data content, security expectations, availability and dependency requirements in the DSA and the Data Sharing Request Form (Exhibit A to the Data Sharing Agreement) which shall address, including but not limited to the following:
 1. Scope of Project
 - a. What is the proposed Data Sharing project?
 - b. What is the purpose of the Data Sharing Request (and that it meets all Federal and State law requirements for Data Sharing)?
 - c. Does it further the vision, purpose and research agenda of the P20 WIN?
 - d. What specific data fields and elements are to be queried/linked?
 - e. When will the Data Recipient destroy or return the Resultant Data?
 2. Entities Involved
 - a. Who are the Participating Agencies sharing the data?
 - b. What is the Data Requesting entity?
 - c. Who are the Participating Agency contacts?
 - d. Who are the Data Requesting contacts?
 3. Identify any applicable federal and state laws and regulations to determine whether all confidentiality/privacy requirements are being met.
 4. Document the plans for data analysis and reporting of findings from the Resultant Data.
 5. Data Recipient shall provide information whether the Data Recipient is able to meet the Data security requirements and conduct the Data analysis in a secure environment.
 6. Determine the Participating Agencies' confidentiality and privacy requirements, permissions and limitations for Data Recipient's dissemination or publication of the results before release beyond the Data Recipient(s) named in the DSA.
 7. Signed approval from Participating Agencies.
- B. The Data Recipient shall submit the completed Data Sharing Request Form (Exhibit A to the Data Sharing Agreement) to the Operating Group for completeness review, including for support from the Participating Agencies. The Operating Group shall prepare the Data Sharing Request

Form for review by the Data Governing Board representatives from the Participating Agencies whose data are requested in the Data Sharing Request Form. The Data Governing Board representatives from the Participating Agencies whose Data are requested in the Data Sharing Request shall make one of the following decisions:

1. Approval: Data Recipient(s) receive notification of the decision, and that each Participating Agency has verified the availability of the requested Data and agrees to share the Data for the specific purpose of the request.
2. Conditional Approval: Data Recipient (s) shall receive notification of the decision, subject to Data Governing Board's request and review of additional information. The Participating Agencies and the Data Recipient shall be allowed to provide additional information, and/or address the comments or concerns of the Data Governing Board and resubmit the request.
3. Disapproval: Data Recipient (s) shall receive notification of the decision and the supporting reasons for the decision not to share or match Data based on the given Data Sharing Request Form.

The Participating Agencies' representatives do not have to meet in person and the Participating Agencies' votes may be virtual, including but not limited to telephonic. The Operating Group shall be responsible for notifying the Data Recipient of the applicable decision.

XII. METHODOLOGY

The Participating Agencies in the Data Sharing Request shall, in accordance with the DSA, provide the Data Integration Hub with the requested Data files and will describe the Data flow process in the DSA. Each Participating Agency input file shall contain a generic identifier for each Individual record. The generic unique identifier, used solely for the Data Sharing process using the Data Integration Hub, will bear no resemblance to or contain any part of an individual's identifiable data.

The Operating Group shall coordinate and schedule the Transmission of Data from Participating Agencies with Data that was approved to be a part of the Data request. Each Participating Agency with Data that was approved to be a part of the Data request and who approved the use of their Data will produce the input Data sets required to satisfy the request:

- A. The file used for data matching will be structured so that there is one unique record per Individual represented. Data that may have been pulled from a dimensional data source will be flattened to produce an input file in this format.
- B. Participating Agency shall structure the file with a unique generic ID to each unique record in the file that identifies the Participating Agency which is providing the Data.

Each Participating Agency shall utilize the Specifications under this E-MOU when responding to a P20WIN Data Sharing Request.

The Participating Agencies may jointly advise the revision of these Specifications, and the Data Governing Board may recommend to the Executive Board the adoption of amendments to, or repeal and replacement of, the Specifications for integrating data for matching services at any time in accordance with Appendix 4 of this E-MOU.

Upon receipt of all required input Data sets, the Data Integration Hub shall utilize data matching software and/or methods approved by the Data Governing Board to integrate the Data sets.

XIII. USE OF DATA

- A. All Parties to this E-MOU, and specifically, the Data Integration Hub, shall only use Data for the authorized Data Sharing Request purpose and no other purpose in accordance with applicable federal and state law, this E-MOU and the Data Sharing Agreement. Each Party shall monitor the use of Data by its Users, employees, vendors and any other person or entity that receives, sends, or has access to Data pursuant to this E-MOU. Nothing in this E-MOU may be construed to allow any Party, person or entity to maintain, use, disclose or share Data in a manner inconsistent with the terms of this E-MOU or its Appendices and applicable federal and state laws and regulations.
- B. The Parties agree that they will comply with any operational measures necessary due to changes in applicable law.
- C. Each Participating Agency agrees that unless permitted or required to share Data by applicable federal and/or state law, it may obtain the appropriate authorization to disclose the Data for the Individual, pursuant to the terms and conditions of this E-MOU and its Appendices. If a signed consent to share the Data is required, the Participating Agency may take steps to obtain the Individual's consent to release the Data. Where the Individual is a minor, the Participating Agency may take steps to obtain the Individual's parent or legal guardian consent. If the Individual has a representative authorized to act on her/his behalf, the Participating Agency may take steps to obtain the Individual's representative consent.
 - 1. Tracking of Authorizations. The Participating Agencies agree to track the expiration and/or revocation of the Individuals consent authorization in compliance with the applicable federal and state laws.
 - 2. Defective authorization. Individuals consent authorization is not valid if the document has any of the following defects: (a) the expiration date has passed or the expiration event is known by the Participating Agency to have occurred; (b) the authorization has not been completely filled out, with respect to a required element by federal and/or state law; (c) the authorization is known by the Participating Agency to have been revoked; (d) the authorization creates a compound authorization or violates the prohibition on conditioning

the provision of services or benefits on conditioning authorizations; (e) any material information in an authorization is known by the Participating Agency to be false.

3. Revocations of authorizations. Individuals may revoke a consent authorization provided under this section at any time for subsequent Data Sharing requests, provided that the revocation is given in writing to the Participating Agency, except to the extent that the Data has already been shared or actions have taken place in reliance on the prior consent authorization. The confidentiality and privacy policies of each Participating Agency shall govern the Individuals revocation of consent authorizations.

XIV. P20 WIN DATA SHARING SYSTEM ACCESS POLICIES

- A. Each Participating Agency acknowledges that Participating Agency access and disclosure policies may differ among them as a result of differing applicable laws and business practices. Each Participating Agency agrees to be responsible for encrypting data in transit and at rest, using current industry standard algorithms agreed on by the Participating Agencies involved and the Data Integration Hub before transmission occurs based on the application of its Participating Agency Access and Disclosure policies to the requested data. Each Participating Agency shall comply with applicable federal and state law, this E-MOU, and all applicable Specifications in Transmittal of Data.
- B. Each Participating Agency agrees to employ an approved credentialing service, through which the Participating Agency, or its designee, uses the Digital Credentials to verify the identity of each User prior to enabling such user to Transmit Data. The "approved credentialing service" must meet state, federal and industry standards. It must also be commonly used, verifiable, and known as being used in existing data exchange systems.

XV. ENTERPRISE SECURITY SPECIFICATIONS

- A. Each Participating Agency agrees:
 1. To implement and maintain a security program that, at a minimum, includes all controls identified in NIST Special Publication 800-171. Furthermore, each Participating Agency shall be responsible for maintaining a secure environment compliant with state policies, standards and guidelines, and other applicable federal and state law that supports the Transmission of Data in compliance with the Specifications.
 2. To comply with additional safeguards recommended by the Data Governing Board and/or required by the Executive Board, including but not limited to encryption of Data in transit and at rest using current industry standard algorithms agreed on by the Parties involved before transmission occurs.
 3. As appropriate under applicable federal and state law, have written privacy and security policies, including Access and Disclosure policies.
 4. To the extent permissible under applicable federal and state law, comply with

Specifications that define expectations with respect to data privacy and security standards in this E-MOU.

- B. The Data Integration Hub agrees:
1. To implement and maintain a security program that, at a minimum, includes all controls identified in NIST Special Publication 800-171.
 2. That each Participating Agency shall, through its agents, employees, and independent contractors have the ability to audit the processes at the Data Integration Hub related to this E-MOU for Data security purposes: to clarify, the Participating Agency has the ability to monitor the access to and use of the Data Integration Hub, but not the records or the Data being provided
 3. That all Data from each Participating Agency, in the possession of the Data Integration Hub, shall be encrypted at rest (storage) and in motion (Transmittal) including all Participating Agency Data sent to the Data Recipient.
 4. To develop procedures to notify Participating Agencies when a breach or suspected breach of the Data Integration Hub has occurred.
- C. In accordance with applicable federal and state law, each Party shall be responsible for procuring and assuring that its User(s) have or have access to equipment and software necessary to fulfill its responsibilities under this E-MOU.
- D. Security Standards for Transmission of Data and for Data at Rest. The Transmission of Data shall be encrypted to appropriate framework, using current industry standard algorithms agreed on by the Parties involved. Electronic signatures shall be used in the Data Transmission and Data at rest to identify the source and destination.
- E. Exception Process. A Participating Agency which does not fully meet the standards set forth in this Section XV may submit a proposed plan to share Data to the Data Governing Board during the process of coming into full compliance with the stated requirements.
- F. Applicability of Privacy and Security Regulations. To maintain the privacy, confidentiality, and security of the Data, and in determining Data security (including but not limited to where the Data shall be maintained and who has access to the Data), each Party shall comply with applicable federal and state law and this E-MOU and the data privacy and security standards.
- G. Safeguards. Each Party shall use reasonable and appropriate administrative, physical and technical safeguards in conformity with NIST SP 800-171 requirements.
- H. Breach Notification. If a breach occurs while the Data is in the possession of a Party, such Party shall comply with the applicable federal and state law requirements regarding reporting of a breach or a potential breach, including but not limited to the Attorney General's Data Security

Department, C.G.S. § 36a-701b, that affect Data covered under a Data Sharing Agreement (DSA) and comply with the requirements contained in Appendix 2 hereto.

- I. Conflict of Obligations. This Section shall not be deemed to supersede a Participating Agency's obligations (if any) under relevant security incident, breach notification or confidentiality provisions of applicable federal and law.
- J. Conflict of Compliance. Compliance with this Section shall not relieve any Party of any security incident or breach reporting requirements under applicable federal and state law including, but not limited to, those related to Individuals.

XVI. ONBOARDING NEW PARTICIPATING AGENCIES, AND SUSPENSION AND REINSTATEMENT OF PARTICIPATING AGENCIES

Onboarding of new entities for data sharing and suspending and reinstating Participating Agencies shall be in accordance with Appendix 1.

XVII. AUDITS

The Operating Group will facilitate any required confidentiality, privacy or security audits related to the P20 WIN Data Sharing process that are requested by any of the Participating Agencies. To perform this duty, the Operating Group shall:

- A. Facilitate any Participating Agency to audit or assess the Data Integration Hub's data sharing confidentiality, privacy or security protocols and practices to ensure compliance with applicable laws and this E-MOU.
- B. Ensure maintenance of logs to track a) Data files received; b) matches conducted; c) Data files maintained; and d) the output files sent to approved Data Recipient(s). Logged information shall specifically document when Data was transferred, who received and sent Data, Data Elements involved, Data Sharing Request to which the Transferred Data pertain, dates of Data destruction and other relevant information.
- C. Regularly monitor Users at the Data Integration Hub with access to Data to determine whether the job responsibilities of those persons continue to require access to Participating Agencies' Data. The Data Integration Hub shall immediately facilitate the removal of access for any person who is determined to no longer require such access.

XVIII. MISCELLANEOUS PROVISIONS

- A. Amendments. An amendment of the E-MOU and its Appendices and the DSA and its

Exhibits may be recommended by the Data Governing Board to the Executive Board in accordance with Appendix 3 and Appendix 4. To be considered, all members of the Executive Board must be present (including telephonically or virtually) for the vote. Revisions to this E-MOU must be approved by the Executive Board by a unanimous vote of the Executive Board. After such vote, if a member participated by telephonically or virtually, the Operating Group shall follow up with such member and capture their vote for inclusion. A formal written amendment shall memorialize the approved revisions to this E-MOU, and shall not be effective until executed by all Parties to the E-MOU.

- B. **Term and Termination.** The term of this E-MOU is for a period of three (3) years. This E-MOU shall remain in full force and effect for the entire term of the E-MOU period stated herein, unless terminated by any Participating Agency on behalf of itself as a Party to the E-MOU with thirty (30) days written notice to the Operating Group. If this E-MOU is found by a court or tribunal of competent jurisdiction to be in conflict with any federal or state laws or with any rule, regulation, or guideline, it shall be null and void to the extent of such conflict. Notwithstanding this termination provision, if any Party to this E-MOU is found to have breached the confidentiality provisions contained herein, the remaining Parties may immediately terminate their participation without notice.
- C. **Notices.** All notices to be made under this E-MOU shall be in writing and given to the authorized Participating Agency's contact at the address listed below. The Participating Agencies shall notify each other in writing of any change to this designation within ten (10) business days:
1. **State Board of Education**
Ajit Gopalakrishnan, Chief Performance Officer
Connecticut State Department of Education
450 Columbus Boulevard, Suite 710
Hartford, CT 06103
Phone: 830.713.6888
Email: ajit.gopalakrishnan@ct.gov
 2. **Connecticut State Colleges and Universities**
Jan Kiehne, Senior Associate for Decision Support Resources & Data Privacy Officer
Connecticut State Colleges and Universities
61 Woodland Street
Hartford, CT 06105
Phone: 860.723.0236
Email: jkiehne@commnet.edu
 3. **State Department of Labor**
Patrick Flaherty, Acting Director of Research and Information
Connecticut Department of Labor

200 Folly Brook Boulevard
Wethersfield, CT 06109
Phone: 860.263.6281
Email: Patrick.flaherty@ct.gov

4. University of Connecticut
Lauren Jorgensen, Director
Office of Institutional Research and Effectiveness
University of Connecticut
Phone: 860.486.1904
Email: Lauren.Jorgensen@uconn.edu
5. Connecticut Independent College and University Institute for Research and Public Services
Jennifer Widness, President
CT Independent College & University Institute for Research and Public Service, Inc.
71 Raymond Road
West Hartford, CT 06107
Phone: 860.678.0005
Email: widnessj@theccic.org
6. State Office of Early Childhood
Rachel Leventhal-Weiner, Chief Research and Planning Officer
Connecticut Office of Early Childhood
450 Columbus Blvd
Hartford, CT 06103
Phone: 860.500.4417
Email: Rachel.Leventhal-Weiner@ct.gov
7. Connecticut Department of Social Services
Susan Smith, Director of Business Intelligence and Analytics
Connecticut Department of Social Services
55 Farmington Avenue
Hartford, CT 06105
Phone: 860.424.5209
Email: Susan.Smith@ct.gov
8. Connecticut Office of Higher Education
Ram Aberasturia, Chief Operating Officer
Connecticut Office of Higher Education
450 Columbus Blvd, Suite 707
Hartford, CT 06103
Phone: 860.947.1819

Email: Ram.Aberasturia@ct.gov

9. Connecticut Department of Children and Families
Treena Mazzotta, LMSW, Chief of Strategic Planning
Connecticut Department of Children and Families
505 Hudson Street
Hartford, CT 06106
Phone: 860.560.5065
Email: Treena.Mazzotta@ct.gov

10. Connecticut Coalition to End Homelessness
Linda Casey, MS, MPH, Director of HMIS and Strategic Analysis
Connecticut Coalition to End Homelessness
257 Lawrence Street
Hartford, CT 06106
Phone: 860.690.0123
Email: lcasey@cceh.org

11. Connecticut Office of Policy and Management
Scott Gaul, Chief Data Officer
Connecticut Office of Policy and Management
450 Capitol Avenue
Hartford, CT 06106
Phone: 860.418.6236
Email: Scott.Gaul@ct.gov

- D. **Governing Law.** This E-MOU shall be governed by and construed in accordance with applicable laws of the United States and the State of Connecticut.
- E. **Validity of Provisions.** In the event that any Section, or any part or portion of any Section of this E-MOU, is determined to be invalid, void or otherwise unenforceable, each and every remaining Section or part thereof shall remain in full force and effect.
- F. **Priority.** In the event of any conflict or inconsistency between a provision in the body of this E-MOU and any Appendix hereto, the terms contained in the body of this E-MOU shall prevail.
- G. **Headings.** The headings throughout this E-MOU are for reference purposes only, and the words contained therein may in no way be held to explain, modify, or aid in the interpretation or construction of meaning of the provisions of this E-MOU. All references in this instrument to designated "Sections" and other subdivisions are to the designated Sections and other subdivisions of this E-MOU. The words "herein," "hereof," "hereunder," and other words of

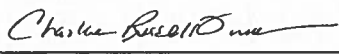
similar import refer to this E-MOU as a whole and not to any particular Section or other subdivision.

- H. Relationship of the Parties. Nothing in this E-MOU shall be construed to create a partnership, agency relationship, or joint venture among the Parties to this E-MOU. No Party shall have any authority to bind or make commitments on behalf of another Party for any purpose, nor shall any such Party hold itself out as having such authority. No Party shall be held liable for the acts or omissions of another Party.
- I. Effective Date. With respect to the first two (2) Participating Agencies to this E-MOU, the Effective Date shall be the date on which the second Participating Agency executes this E-MOU. For all Participating Agencies thereafter, the Effective Date shall be the date that the Participating Agency executes this E-MOU.
- J. Counterparts. This E-MOU may be executed in any number of counterparts, each of which shall be deemed an original as against the Participating Agency whose signature appears thereon, but all of which taken together shall constitute but one and the same instrument.
- K. Third-Party Beneficiaries. There shall be no right of any person to claim a beneficial interest in this E-MOU or any rights occurring by virtue of this E-MOU.
- L. Force Majeure. A Participating Agency shall not be deemed in violation of any provision of this E-MOU if it is prevented from performing any of its obligations by reason of: (a) severe weather and storms; (b) earthquakes or other disruptive natural occurrences or Acts of God; extensive power failures in durations of over five (5) business days; (d) nuclear or other civil or military emergencies; (e) pandemic proclamations; (f) quarantines (g) terrorist attacks; (h) acts of legislative, judicial, executive, or administrative authorities; or (i) any other circumstances that are not within its reasonable control. This Section shall not apply to obligations imposed under applicable federal and state law.
- M. Court Order or Subpoena. In the event that the Operating Group or the Data Integration Hub receive a request to disclose all or any part of the Data, Data Sharing Request, or Resultant Data under the terms of a valid and effective subpoena or order issued by a court of competent jurisdiction or by a Governmental Authority, the Operating Group or the Data Integration Hub shall (i) immediately notify the relevant Participating Agency(ies) of the existence, terms and circumstances surrounding such a request, and shall promptly provide the Participating Agency(ies) with a copy of such court order or lawfully issued subpoena, with a copy to the Participating Agency(ies)' legal department; (ii) consult with the Participating Agency(ies) on the advisability of taking legally available steps to resist or narrow such request; and (iii) if disclosure of such source is required, exercise its best efforts to obtain an order or other reliable assurance that confidential treatment will be accorded to such portion of the disclosed Data of the involved Participating Agency(ies).

- N. Supersedes Prior Agreements. This E-MOU shall supersede all prior agreements and understandings whether written or oral among the Parties, any of them, with respect to the subject matter hereof.
- O. Sovereign Immunity. Nothing in this E-MOU waives the State of Connecticut's sovereign immunity from suit and all of the protections under sovereign immunity.
- P. Entire E-MOU. This E-MOU, together with all Appendices, constitutes the entire agreement. The official, executed version of this E-MOU shall be maintained in an electronic form by the Operating Group.

XIX. ACCEPTANCE AND APPROVALS

- A. For the State Board of Education:
Charlene Russell-Tucker, Commissioner

Signature: 
Date Signed: August 23, 2021

- B. For the Connecticut State Colleges and Universities:
Dr. Jane Gates, Provost

Signature: _____
Date Signed: _____

- C. For the Connecticut Department of Labor:
Dante Bartolomeo, Commissioner

Signature: _____
Date Signed: _____

- D. For the University of Connecticut:
Lloyd Blanchard, Interim CFO

Signature: _____
Date Signed: _____

- E. For the Connecticut Independent College and University Institute for Research and Public Services:
Jennifer Widness, President

Signature: _____

Date Signed: _____

- F. For the Office of Early Childhood:
Beth Bye, Commissioner

Signature: _____

Date Signed: _____

- G. For the Connecticut Department of Social Services:
Kathleen Brennan, Deputy Commissioner

Signature: _____

Date Signed: _____

- H. For the Connecticut Office of Higher Education:
Tim Larson, Executive Director

Signature: _____

Date Signed: _____

- I. For the Connecticut Department of Children and Families:
Michael Williams, Deputy Commissioner

Signature: _____

Date Signed: _____

- J. For the Connecticut Coalition to End Homelessness:
Evonne Klein, Interim Executive Director

Signature: _____

Date Signed: _____

- K. For the Connecticut Office of Policy and Management:
Melissa McCaw, Secretary or

Konstantinos Diamantis, Deputy Secretary

Signature:  _____

Date Signed: 7/28/2021

Signature: _____
Date Signed: _____

- F. For the Office of Early Childhood:
Beth Bye, Commissioner

Signature: Beth Bye
Date Signed: 8/11/21 _____

- G. For the Connecticut Department of Social Services:
Kathleen Brennan, Deputy Commissioner

Signature: _____
Date Signed: _____

- H. For the Connecticut Office of Higher Education:
Tim Larson, Executive Director

Signature: _____
Date Signed: _____

- I. For the Connecticut Department of Children and Families:
Michael Williams, Deputy Commissioner

Signature: _____
Date Signed: _____

- J. For the Connecticut Coalition to End Homelessness:
Evonne Klein, Interim Executive Director

Signature: _____
Date Signed: _____

- K. For the Connecticut Office of Policy and Management:
Melissa McCaw, Secretary or
Konstantinos Diamantis, Deputy Secretary

Signature: _____
Date Signed: _____

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XIX. ACCEPTANCE AND APPROVALS

- A. For the State Board of Education:
Charlene Russell-Tucker, Commissioner

Signature: _____

Date Signed: _____

- B. For the Connecticut State Colleges and Universities:
Dr. Jane Gates, Provost

Signature: _____

Date Signed: _____

- C. For the Connecticut Department of Labor:
Dante Bartolomeo, Commissioner

Signature: Dante Bartolomeo

Date Signed: 8/16/21

- D. For the University of Connecticut:
Lloyd Blanchard, Interim CFO

Signature: _____

Date Signed: _____

- E. For the Connecticut Independent College and University Institute for Research and Public Services:
Jennifer Widness, President

- N. Supersedes Prior Agreements. This E-MOU shall supersede all prior agreements and understandings whether written or oral among the Parties, any of them, with respect to the subject matter hereof.
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XIX. ACCEPTANCE AND APPROVALS

- A. For the State Board of Education:
Charlene Russell-Tucker, Commissioner

Signature: _____

Date Signed: _____

- B. For the Connecticut State Colleges and Universities:
Dr. Jane Gates, Provost



Signature: _____

Date Signed: July 30, 2021

- C. For the Connecticut Department of Labor:
Dante Bartolomeo, Commissioner

Signature: _____

Date Signed: _____

- D. For the University of Connecticut:
Lloyd Blanchard, Interim CFO

Signature: _____

Date Signed: _____

- E. For the Connecticut Independent College and University Institute for Research and Public Services:

- N. Supersedes Prior Agreements. This E-MOU shall supersede all prior agreements and understandings whether written or oral among the Parties, any of them, with respect to the subject matter hereof.
- O. Sovereign Immunity. Nothing in this E-MOU waives the State of Connecticut's sovereign immunity from suit and all of the protections under sovereign immunity.
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XIX. ACCEPTANCE AND APPROVALS

- A. For the State Board of Education:
Charlene Russel-Tucker, Commissioner

Signature: _____
Date Signed: _____

- B. For the Connecticut State Colleges and Universities:
Dr. Jane Gates, Provost

Signature: _____
Date Signed: _____

- C. For the Connecticut Department of Labor:
Dante Bartolomeo, Commissioner

Signature: _____
Date Signed: _____

- D. For the University of Connecticut:
Lloyd Blanchard, Interim CFO

Signature:  _____
Date Signed: 7/29/2021

- E. For the Connecticut Independent College and University Institute for Research and Public Services:
Jennifer Widness, President

Signature: _____
Date Signed: _____

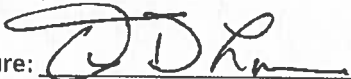
- F. For the Office of Early Childhood:
Beth Bye, Commissioner

Signature: _____
Date Signed: _____

- G. For the Connecticut Department of Social Services:
Kathleen Brennan, Deputy Commissioner

Signature: _____
Date Signed: _____

- H. For the Connecticut Office of Higher Education:
Tim Larson, Executive Director

Signature:  _____
Date Signed: 8-1-2021

- I. For the Connecticut Department of Children and Families:
Michael Williams, Deputy Commissioner

Signature: _____
Date Signed: _____

- J. For the Connecticut Coalition to End Homelessness:
Evonne Klein, Interim Executive Director

Signature: _____
Date Signed: _____

- K. For the Connecticut Office of Policy and Management:
Melissa McCaw, Secretary or
Konstantinos Diamantis, Deputy Secretary

Signature: _____
Date Signed: _____

Signature: _____

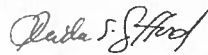
Date Signed: _____

- F. For the Office of Early Childhood:
Beth Bye, Commissioner

Signature: _____

Date Signed: _____

- G. For the Connecticut Department of Social Services:
Deidre S. Gifford, Commissioner



Digitally signed by Deidre S. Gifford, MD, MPH
DN: cn=Deidre S. Gifford, MD, MPH,
o=Connecticut Department of Social Services, ou,
email=deidre.gifford@ct.gov, c=US
Date: 2021.08.04 16:09:25 -0400

Signature: _____

Date Signed: 8/4/21 _____

- H. For the Connecticut Office of Higher Education:
Tim Larson, Executive Director

Signature: _____

Date Signed: _____

- I. For the Connecticut Department of Children and Families:
Michael Williams, Deputy Commissioner

Signature: _____

Date Signed: _____

- J. For the Connecticut Coalition to End Homelessness:
Evonne Klein, Interim Executive Director

Signature: _____

Date Signed: _____

- K. For the Connecticut Office of Policy and Management:
Melissa McCaw, Secretary or
Konstantinos Diamantis, Deputy Secretary

Signature: _____

Date Signed: _____

Signature: Jennifer P. Wick
Date Signed: 30 July 2021

- F. For the Office of Early Childhood:
Beth Bye, Commissioner

Signature: _____
Date Signed: _____

- G. For the Connecticut Department of Social Services:
Kathleen Brennan, Deputy Commissioner

Signature: _____
Date Signed: _____

- H. For the Connecticut Office of Higher Education:
Tim Larson, Executive Director

Signature: _____
Date Signed: _____

- I. For the Connecticut Department of Children and Families:
Michael Williams, Deputy Commissioner

Signature: _____
Date Signed: _____

- J. For the Connecticut Coalition to End Homelessness:
Evonne Klein, Interim Executive Director

Signature: _____
Date Signed: _____

- K. For the Connecticut Office of Policy and Management:
Melissa McCaw, Secretary or
Konstantinos Diamantis, Deputy Secretary

Signature: _____
Date Signed: _____

Signature: _____

Date Signed: _____

- F. For the Office of Early Childhood:
Beth Bye, Commissioner

Signature: _____

Date Signed: _____

- G. For the Connecticut Department of Social Services:
Kathleen Brennan, Deputy Commissioner

Signature: _____

Date Signed: _____

- H. For the Connecticut Office of Higher Education:
Tim Larson, Executive Director

Signature: _____

Date Signed: _____

- I. For the Connecticut Department of Children and Families:
Michael Williams, Deputy Commissioner

Signature: _____

Date Signed: _____

- J. For the Connecticut Coalition to End Homelessness:
Evonne Klein, Interim Executive Director

Signature: *Evonne Klein*

Date Signed: 07/29/2021

- K. For the Connecticut Office of Policy and Management:
Melissa McCaw, Secretary or
Konstantinos Diamantis, Deputy Secretary

Signature: _____

Date Signed: _____

Signature: _____

Date Signed: _____

- F. For the Office of Early Childhood:
Beth Bye, Commissioner

Signature: _____

Date Signed: _____

- G. For the Connecticut Department of Social Services:
Kathleen Brennan, Deputy Commissioner

Signature: _____

Date Signed: _____

- H. For the Connecticut Office of Higher Education:
Tim Larson, Executive Director

Signature: _____

Date Signed: _____

- I. For the Connecticut Department of Children and Families:
Vannessa Dorantes, Commissioner

Signature:  Vannessa Dorantes
Date Signed: _____ CT DCF Commissioner 7/29/21

- J. For the Connecticut Coalition to End Homelessness:
Evonne Klein, Interim Executive Director

Signature: _____

Date Signed: _____

- K. For the Connecticut Office of Policy and Management:
Melissa McCaw, Secretary or
Konstantinos Diamantis, Deputy Secretary

Signature: _____

Date Signed: _____

July 28, 2021

APPENDIX 1

Procedures for Adding a New Participating Agency, Suspending a Participating Agency and Reinstating of a Participating Agency

1. Adding A New Participating Agency

When an Applicant requests to join this E-MOU, the request shall be directed by the Executive Board to the Data Governing Board. The Data Governing Board will meet to review the Applicant's request within thirty (30) business days of submission. The Data Governing Board's review will focus on the authority of the Applicant to access and share the data and potential security, privacy, confidentiality or conflict of interest concerns that might be raised if the Applicant participates in the Data Sharing process. If security or conflict of interest concerns are identified, the initial request will be returned to the Applicant and the Applicant will be asked to explain how there are no security or conflict of interest concerns. If confidentiality or privacy concerns are identified, the initial request will be forwarded to the Operating Group, for review and decision. The Operating Group will review and respond to the Applicant's request within ten (10) business days of receipt from the Data Governing Board.

If no concerns are identified (including the Data Governing Board being satisfied that the Applicant understands the policies and procedures set forth in the E-MOU), and the decision by the Data Governing Board is to recommend adding the Applicant as a Participating Agency, the recommendation will be sent to the Executive Board for a decision. If the Executive Board, by a unanimous vote, accepts the recommendation of the Data Governing Board, the Applicant will be considered a Participating Agency. The E-MOU will be amended to add the Applicant as a Participating Agency and all Parties shall sign the revised E-MOU.

2. Suspension of a Participating Agency

A. Voluntarily by the Participating Agency

1. **Service Level Interruptions.** Participating Agencies or the Data Integration Hub may experience temporary service level interruptions from time to time. These service level interruptions may be planned or unplanned. A service level interruption may result in a Participating Agency or the Data Integration Hub having to temporarily cease Data Sharing with other Participating Agencies. To ensure that all Participating Agencies are aware of service level interruptions, the Participating Agency experiencing the service level interruption agrees to notify the Data Governing Board of the interruption prior to the interruption, if planned, or as soon as reasonably practicable after the interruption begins, if unplanned. The Data Governing Board shall simultaneously notify all other Participating Agencies, as well as members of the Executive Board, of the interruption. The Participating Agency agrees to be responsible for taking all technical actions necessary to resolve a service level interruption. During a service level interruption, the Participating Agency agrees to continue to comply with the terms and conditions of the E-MOU.

2. **Voluntary Suspension.** If a Participating Agency decides that it requires a temporary suspension of its responsibility for complying with the terms of the E-MOU, it agrees to provide written notice to the Data Governing Board of its need for a temporary voluntary suspension at least twenty-four (24) hours prior to commencing its voluntary suspension. The written notice shall specify the reason(s) for, the commencement date of, and the duration of the voluntary suspension. The Data Governing Board shall simultaneously notify all other Participating Agencies, as well as members of the Executive Board of the voluntary suspension.

B. INVOLUNTARILY – WITH CAUSE

When a complaint, report, or other information indicates that a suspension may be warranted, the Data Governing Board may initiate an investigation of complaint, report, or other information. The Data Governing Board shall immediately notify the Party(ies) in question of the investigation.

When the complaint, report, or other information indicates that a suspension must be implemented immediately and, in the judgment of the Data Governing Board, it is not practical to delay the suspension while the Executive Board is convened, the Data Governing Board shall immediately:

- a. Notify the Executive Board of the recommendation and request that the Executive Board take all actions necessary to carry out the suspension, including, but not limited to, suspension of the Participating Agency's access to Data Sharing service;
- b. Call a special meeting of the Executive Board to evaluate the recommendation of suspension; and
- c. If the Executive Board agrees with the recommendation, notify the suspended Participating Agency of the suspension.

The Data Governing Board shall meet as soon as practicable, but no later than five (5) business days after the receipt of the complaint by the Data Governing Board, to evaluate the suspension action by the Executive Board. The suspension shall remain in effect until the Data Governing Board meets to evaluate the suspension and makes a recommendation to the Executive Board to affirm, modify, or terminate the suspension.

If a member of the Data Governing Board is the designee of the Participating Agency identified by the complaint, the designee will recuse herself/himself from the investigation of the complaint.

If a complaint has not been resolved by the Data Governing Board within thirty (30) days after it was first received (or such longer period as agreed to in writing by the Participating Agency who is a party to the complaint), then the complaint shall be escalated to the Executive Board for resolution. If the Executive Board (if a member of the Executive Board is

the designee of the Participating Agency identified by the complaint, the designee will recuse herself/himself from the discussion and vote) cannot decide unanimously on a resolution of the complaint, then the complaint is dismissed with no action taken against the Participating Agency.

If, through the investigation, the Data Governing Board recommends that a Participating Agency is (i) creating an immediate threat, or (ii) will cause irreparable harm to another party, including but not limited to, another Participating Agency, a User, or an individual whose data are shared pursuant to this E-MOU, the Data Governing Board may recommend to the Executive Board to suspend a Participating Agency and that such suspension be tailored to address the threat posed by the Participating Agency. If the Executive Board concurs in the recommendation, the Executive Board shall order the Data Governing Board to take all technical actions necessary to carry out the suspension including, but not limited to, suspension of the Participating Agency's access to the Data Sharing services. As soon as reasonably practicable after suspending a Participating Agency, but in no case longer than twelve (12) business hours, the Data Governing Board shall provide the suspended Participating Agency with a written summary of the reasons for the suspension and notify all other Participating Agencies of the suspension.

The suspended Participating Agency agrees to provide the Data Governing Board with a written plan of correction to the suspension within ten (10) business days of being notified of the suspension.

Any objection shall specify the reason that the Participating Agency feels the suspension is inappropriate. The plan of correction shall describe the action that the Participating Agency is taking to address, mitigate and remediate the issue(s) that caused the Data Governing Board to recommend that a suspension was appropriate and include a timeframe for such actions. The Data Governing Board shall meet and review a suspended Participating Agency's plan of correction or objection within ten (10) business days of receipt from the Participating Agency; determine whether to recommend to the Executive Board to accept or reject the plan of correction or affirm the suspension; and communicate such decision to the Executive Board who will act on such recommendation and provide its decision to the suspended Participating Agency and the Data Governing Board.

If the Data Governing Board rejects the plan of correction, it shall work in good faith with the suspended Participating Agency to develop a mutually acceptable plan of correction. If the Data Governing Board and the suspended Participating Agency cannot reach agreement on the content of the plan of correction or on the reasons supporting the suspension it, the Data Governing Board may submit the Dispute to the Executive Board or make a recommendation to terminate the Participating Agency.

Any suspensions imposed shall remain in effect until the Participating Agency is reinstated or terminated in accordance with this E-MOU. A Participating Agency shall be suspended by

the Data Governing Board before the Participating Agency can recommend termination of the Participating Agency.

3. Reinstatement

A. After Voluntary Suspension by a Participating Agency

The Participating Agency's notification of a voluntary suspension shall state the commencement date and the duration of the suspension. That Participating Agency may extend the duration of the voluntary suspension should it be necessary as determined by the Participating Agency.

Either on the date indicated by the Participating Agency in the suspension or extension request or at an earlier time if requested by the Participating Agency, the Executive Board shall instruct the Data Governing Board to take all actions necessary to reinstate the Participating Agency's ability to participate in the data sharing service included, but not limited to, the reinstatement of the Participating Agency's access to the Data Sharing services.

B. After Suspension with Cause

When a Participating Agency's ability to participate in the data sharing services has been suspended by the Data Governing Board with cause, the Participating Agency agrees to provide evidence to the Data Governing Board of the Participating Agency's fulfillment of the obligations of its plan of correction. The Data Governing Board shall review such evidence at its next regularly scheduled meeting following receipt from the Participating Agency.

If the Data Governing Board is not satisfied that the Participating Agency has met its obligations under its plan of correction, the Data Governing Board shall inform the Participating Agency of the deficiencies within five (5) business days of reaching that decision. The Participating Agency will have the ability to submit additional evidence that addresses such deficiencies.

When the Data Governing Board is satisfied that the evidence presented indicates that the Participating Agency has fulfilled its obligations under the plan of correction, it shall recommend that the Executive Board instruct the Data Governing Board to take all actions necessary to reinstate the Participating Agency's ability to participate in the data sharing services including, but not limited to the reinstatement of the Participating Agency's access to the Data Sharing services. Such action should be completed as soon as possible but not later than three (3) business days after reaching that decision. The Executive Board shall inform all Participating Agencies of such reinstatement forthwith.

Multiple suspensions with cause may result in a permanent suspension.

July 28, 2021

Appendix 2
Procedures for Breach Notification

1. Procedures for Party Breach Notification

A. Notification Process

Upon initial notification of an actual or potential Breach, the Party (ies) responsible for or affected by an actual or potential Breach shall report such event to the Operating Group for the Data Governing Board. Such reports shall be made as soon as the Party learns of the Breach or potential Breach but no later than 24 hours from when the Participating Agency discovered or had reasonable belief that there was an actual or potential Breach by unauthorized individuals or entities. Party (ies) shall also comply with any federal and state law and regulations regarding Breaches.

B. Notification Content

The Notification shall include sufficient information for the Data Governing Board to understand the nature of the actual or potential Breach. For instance, such Notification shall include, to the extent available at the time of the notification, the following information:

- 1) One or two sentence description of the actual or potential Breach;
- 2) Description of the roles of the people involved in the actual or potential Breach (e.g. state employees, users, service provider, unauthorized persons, etc.);
- 3) Type of actual or potential data Breach;
- 4) Party (ies) likely impacted by actual or potential Breach;
- 5) Number of users or records impacted/estimated to be impacted by the actual or potential Breach;
- 6) Actions taken by the Party to mitigate the actual or potential Breach;
- 7) Current status of the actual or potential Breach (under investigation or resolved); and
- 8) Corrective action taken and steps planned to be taken to prevent a similar actual or potential Breach.

The Notification shall not include any confidential or protected Data. The Party agrees to supplement the information contained in the Notification as it becomes available.

If, on the basis of the information available to the Party, the Party believes that it should temporarily cease providing Data with all other Participating Agencies, it may undergo a service level interruption or voluntary suspension in accordance with Appendix 1 of this E-MOU.

2. Disposition of Breach Alerts and Notifications

A. Review of the Breach by the Data Governing Board

The Data Governing Board shall facilitate a meeting upon receipt of the actual or potential Breach alert or Notification for the purpose of reviewing the Notification and determining the following:

- 1) The impact of the Breach or potential Breach on the privacy, security, confidentiality and integrity of the Data Sharing process;
- 2) Whether the Data Governing Board needs to take any action to suspend the Party(ies) involved in the Breach or potential Breach in accordance with Appendix 1 of this E-MOU;
- 3) Whether the Data Governing Board should take any other measures in response to the notification or alert;
- 4) The Data Governing Board shall, if needed, request additional information from the Party(ies) involved in the Breach or potential Breach to fulfill its responsibilities. However, with respect to potential Breach alerts, the Data Governing Board is encouraged to hold inquiries and request additional information to allow the Party(ies) time to determine whether a Breach actually occurred. After determination of a Breach (whether actual, potential or it is determined that it is not a Breach), there should be documentation kept by the Party(ies) of the event that occurred, in order to maintain records for review in case of audit, etc.

B. Voluntary Suspension of Termination by the Participating Agency

If, on the basis of the actual or potential Breach alert or Notification, a Party(ies) desires to cease Data Sharing with the Participating Agency(ies) involved in the potential or actual Breach, pursuant to Appendix 1 of the E-MOU, such Participating Agency shall notify the Operating Group for the Executive Board Chairperson of such suspension. The Operating Group for the Executive Board's Chairperson shall notify members of the Data Governing Board and all Party(ies) of such suspension and maintain a log of all such suspensions.

C. Determination of Breach Resolution

Once complete information about the Breach becomes available, the Data Governing Board shall meet to determine whether the actions taken by the Party(ies) involved in the actual or potential Breach are sufficient to mitigate the actual or potential Breach and prevent a similar Breach from occurring in the future. Once the Data Governing Board is satisfied that the Party(ies) has taken all appropriate measures, the Data Governing Board shall deem the actual or potential Breach resolved and will so advise the Executive Board of such recommendation.

- 1) This resolution will be communicated to all Party(ies) (by communicating with the appropriate DSG representative) involved in the actual or potential Breach and those Party(ies) that ceased Data Sharing with the Participating Agencies involved in the Breach.
- 2) Lessons learned on the root cause of the actual or potential Breach will be communicated to all Party(ies), including those not involved in the actual or potential Breach, to prevent a recurrence of the event in the future.

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APPENDIX 3
Process to Amend the P20 WIN Enterprise MOU

1. Retention and Dissemination of the E-MOU

The official, executed version of the E-MOU shall be maintained in an electronic form by the Operating Group.

2. Submission of Proposed Amendments to the E-MOU

Any Party may submit in writing to the Executive Board a request for an amendment to the E-MOU. All requests for proposed amendments shall identify:

- The section of the E-MOU that is the subject of the requested amendment;
- A description of why the requested amendment is necessary;
- The proposed language for the requested amendment; and
- An analysis of the expected impact of the requested amendment.

The Executive Board shall forward the request to the Data Governing Board for its review and consideration no later than its next meeting.

3. Consideration of Proposed Amendments to the E-MOU

If, after considering the request, the Data Governing Board determines that the request does not have merit, it shall communicate this determination to the requesting Participating Agency.

If, after considering the request, the Data Governing Board determines that the request has merit, the Data Governing Board shall document the determination by completing the following tasks and forwarding the documentation to the Executive Board:

- A copy of the proposed amendment to the E-MOU;
- Description of why the requested amendment is necessary and any foreseeable impact of the amendment;
- Statement regarding whether the proposed amendment is necessary in order for the Executive Board or the Participating Agencies to comply with state or federal law; and
- Projected effective date for the proposed amendment.

4. Approval or Rejection of Proposed Amendments to the E-MOU

The entire Executive Board shall vote on any proposed amendments to the E-MOU; to approve an amendment to the E-MOU, the vote must be by a unanimous vote of all Parties to the E-MOU, which may be virtual, including but not limited to telephonic.

Once an amendment is approved by the Executive Board, all Party(ies) shall sign the amendment to the E-MOU prior to the effective date of the amendment, or terminate their participation in accordance with Section XIX.B. of this E-MOU.

July 28, 2021

Appendix 4
Change Process for Data Sharing Services

1. Requests for Change

A. Process Changes

The Executive Board shall have the authority to adopt new processes for Data Sharing pursuant to this E-MOU to maintain or improve the integrity of data being exchanged and improve the efficiency and efficacy of how the data is being shared (collectively a "Process Change") by adopting amendments to the E-MOU. For Process Changes, and upon the request from the Executive Board, the Data Governing Board may evaluate the change and provide comments to the Executive Board.

B. Compliance Changes

The Executive Board shall have the authority to recommend to adopt new processes or to make changes to the existing E-MOU that are necessary for compliance with all applicable state and federal laws and regulations (collectively a "Compliance Change"). For Compliance Changes, and upon request from the Executive Board, the Data Governing Board may evaluate the change and provide comments to the Executive Board.

2. Receipt

All requests for changes shall be directed in writing to the Chairperson of the Executive Board with a copy to the Operating Group. The Operating Group, on behalf of the Executive Board, shall catalog all requests for changes upon receipt. The catalog shall include:

- a) Type of the proposed change (e.g. new, amendment, repeal)
- b) Name and version number of the specification (where applicable);
- c) Whether the proposed change is a Process Change, Compliance Change or a request for consultation;
- d) Brief description of the reasons for the proposed change (e.g. to enhance metadata available about a document, to meet requirements of a new use case or to comply with a specific law or regulations);
- e) Description of the actual changes;
- f) Preliminary analysis of the potential business and technical impact to Participating Agencies and their Users; and
- g) Estimation of cost to implement the proposed change initially and to provide ongoing support and maintenance.
- h) Copy of the specification.

3. Evaluation

The Executive Board, through the Operating Group, shall, within five (5) business days after the receipt of the request, forward the request for change to the Data Governing Board for technical evaluation of the request and to make a recommendation to the Executive Board. During consideration of the request for change, the Data Governing Board may request additional help from Party (ies), or the requesting Party, or a committee appointed by the Executive Board as the Data Governing Board deems reasonably necessary.

A. Evaluation Criteria for Proposed Changes

1) Evaluation of Process Changes

If the change is a Process Change, the Data Governing Board, through the Operating Group, shall ensure that each Party is provided a copy of the original proposed change. Each Party shall respond in writing to the Operating Group by a designated response date with the following information:

- a. Will implementation of the Process Change have a significant adverse operational or financial impact (e.g., cost benefit analysis) on the Party;
- b. Will implementation of the Process Change require the Party to materially modify its existing agreements with its Users or third parties;
- c. Does the Party believe that implementation of the Process Change will require an amendment to the E-MOU, including amendments to the permitted purposes; and
- d. Indicate whether the Party would implement a change if optional.

The Party agrees to provide supporting reasons or rationale for each response where the Party responds in the affirmative. The Data Governing Board may request additional information from Party(ies) to further evaluate the responses.

2) Determination of Process Changes

The Data Governing Board shall review responses to inform its recommendation to the Executive Board about the proposed change. The criteria when considering the proposed change shall include:

- a. If the change has a significant adverse operational or financial impact on any of the Party(ies);
- b. Does the change require any of the Party(ies) to modify their existing agreements with Users or third parties;
- c. Require an amendment to the E-MOU;
- d. The value of the change to the Party(ies), clients of the Participating Agencies, and to the State as a whole; and

- e. The risks of implementing or not implementing the proposed change to the Participating Agencies, clients of the Participating Agencies, and to the State as a whole.

In addition, the Data Governing Board shall consider the implications of the change to the policies and procedures for the Data Sharing.

If a new agency becomes a Participating Agency after the Participating Agencies have been asked to respond to questions about the Process Change but before the designated response date, the new Participating Agency will be given an opportunity to respond by the designated response date.

The Data Governing Board shall present its recommendation to the Executive Board at the Executive Board's next regularly scheduled meeting following the designated response date. The Executive Board shall review the Data Governing Board's recommendation and make a final decision whether the Process Change is an approved change.

3) Evaluation of Compliance Changes

If the proposed change is a Compliance Change, the Data Governing Board shall review the change to assess its impact. The Data Governing Board shall meet with the Executive Board and present its findings and recommendations within thirty (30) days of the Data Governing Board receiving the Compliance Change. The Executive Board shall review the Data Governing Board's recommendation and make a final decision within two (2) weeks of receiving the Data Governing Board's recommendation.

4) Evaluation of the Timeline for Implementation of the Change

For both Process Changes and Compliance Changes, the Data Governing Board shall assess and make recommendations to the Executive Board on the timeline for implementing the change including, but not limited to the amount of time that Party (ies) should be given to migrate to the new specification. The Data Governing Board shall consider:

- a. Whether the change impacts Data Sharing among the Participating Agencies;
- b. All other projects in which the Participating Agencies are engaged, their timelines, the availability of staff and resources and how they would affect the proposed timeline for implementing the new change.
- c. Prior specifications that will be supported for backward compatibility purposes and the business implications of such support:
- d. If multiple versions will be supported, a sunset date for such support as the multiple versions are collapsed;
- e. The business implications for Participating Agencies related to migrating to the new specification;
- f. The number of Participating Agencies and number of transactions that will be impacted by the new specification;

- g. The amount of time that Participating Agencies should be given to migrate to the new specification; and
- h. Sunset dates as "old" specifications are retired.

The Data Governing Board shall present its recommendations regarding implementation to the Executive Board at the same time it presents its other recommendations regarding the same change to the Executive Board. The Executive Board shall review the Data Governing Board's recommendation and make a final determination regarding the timeline.

B. Response

1) Process Changes

At the conclusion of the response period established during the evaluation of the proposed change, the Executive Board shall evaluate whether to approve the Process Change, if an E-MOU change will be required, and a proposed timeline for implementation. Revisions to the E-MOU mandated by approved Process Changes will be performed in accordance with Appendix 3 of this E-MOU.

2) Compliance Changes

Depending on the responses from the Party(ies), the Executive Board may provide input to all Party(ies) on the impact of the Compliance Change and the recommended timeline for implementation.