



**Recipient Information**

**1. Recipient Name**

NEW HAMPSHIRE INDIVIDUAL HEALTH  
PLAN BENEFIT ASSOCIATION  
1 Pillsbury St Ste 200  
Concord, NH 03301-3556  
603-225-6633

**2. Congressional District of Recipient**  
02

**3. Payment System Identifier (ID)**  
1020499340A1

**4. Employer Identification Number (EIN)**  
020499340

**5. Data Universal Numbering System (DUNS)**  
780146275

**6. Recipient's Unique Entity Identifier (UEI)**  
R3KPBHAJZEF7

**7. Project Director or Principal Investigator**  
Mr. Kevin Stone  
kstone@helmsco.com  
603-223-6633

**8. Authorized Official**

Michael Degnan  
jmdegnan@helmsco.com  
603-223-6453

**Federal Agency Information**

Office of Acquisitions and Grants Management

**9. Awarding Agency Contact Information**

Mr. Kevin Hornbeak  
Grants Management Specialist  
kevin.hornbeak@cms.hhs.gov  
301-492-4879

**10. Program Official Contact Information**

Rochelle Prentice  
State Officer  
rochelle.prentice@cms.hhs.gov  
301-492-4446

**Federal Award Information**

**11. Award Number**

SIWIW210017-02-00

**12. Unique Federal Award Identification Number (FAIN)**

SIWIW210017

**13. Statutory Authority**

Section 1332 of the Affordable Care Act

**14. Federal Award Project Title**

State Innovation Waiver under Section 1332 of the Affordable Care Act

**15. Assistance Listing Number**

93.423

**16. Assistance Listing Program Title**

1332 State Innovation Waivers

**17. Award Action Type**

Non-Competing Continuation

**18. Is the Award R&D?**

No

**Summary Federal Award Financial Information**

<b>19. Budget Period Start Date</b>	01/01/2022	<b>- End Date</b>	12/31/2022
<b>20. Total Amount of Federal Funds Obligated by this Action</b>			\$26,565,613.00
20a. Direct Cost Amount			\$26,565,613.00
20b. Indirect Cost Amount			\$0.00
<b>21. Authorized Carryover</b>			\$0.00
<b>22. Offset</b>			\$0.00
<b>23. Total Amount of Federal Funds Obligated this budget period</b>			\$0.00
<b>24. Total Approved Cost Sharing or Matching, where applicable</b>			\$0.00
<b>25. Total Federal and Non-Federal Approved this Budget Period</b>			\$26,565,613.00
<b>26. Period of Performance Start Date</b>	01/01/2021	<b>- End Date</b>	12/31/2025
<b>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Period of Performance</b>			\$58,110,315.00

**28. Authorized Treatment of Program Income**

ADDITIONAL COSTS

**29. Grants Management Officer - Signature**

Michelle Brown  
Grant Officer

**30. Remarks**



<b>Recipient Information</b>
<b>Recipient Name</b> NEW HAMPSHIRE INDIVIDUAL HEALTH PLAN BENEFIT ASSOCIATION 1 Pillsbury St Ste 200 Concord, NH 03301-3556 603-225-6633
<b>Congressional District of Recipient</b> 02
<b>Payment Account Number and Type</b> 1020499340A1
<b>Employer Identification Number (EIN) Data</b> 020499340
<b>Universal Numbering System (DUNS)</b> 780146275
<b>Recipient's Unique Entity Identifier (UEI)</b> R3KPBHAJZEF7
<b>31. Assistance Type</b> Project Grant
<b>32. Type of Award</b> Other

<b>33. Approved Budget</b> (Excludes Direct Assistance)	
I. Financial Assistance from the Federal Awarding Agency Only	
II. Total project costs including grant funds and all other financial participation	
a. Salaries and Wages	\$0.00
b. Fringe Benefits	\$0.00
c. Total Personnel Costs	\$0.00
d. Equipment	\$0.00
e. Supplies	\$0.00
f. Travel	\$0.00
g. Construction	\$0.00
h. Other	\$26,565,613.00
i. Contractual	\$0.00
<b>j. TOTAL DIRECT COSTS</b>	<b>\$26,565,613.00</b>
<b>k. INDIRECT COSTS</b>	<b>\$0.00</b>
<b>l. TOTAL APPROVED BUDGET</b>	<b>\$26,565,613.00</b>
<b>m. Federal Share</b>	<b>\$26,565,613.00</b>
<b>n. Non-Federal Share</b>	<b>\$0.00</b>

<b>34. Accounting Classification Codes</b>						
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	CFDA NO.	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION
2-5991138	SIWIW0017A	IW	4159	93.423	\$26,565,613.00	75-20-X-0949.005

# AWARD ATTACHMENTS

NEW HAMPSHIRE INDIVIDUAL HEALTH PLAN BENEFIT ASSOCIATION

SIWIW210017-02-00

---

1. Mandatory Terms

## **Centers for Medicare & Medicaid Services Mandatory Grant Terms and Conditions**

Except as noted otherwise, these Terms and Conditions apply to all mandatory grant programs administered by the Centers for Medicare and Medicaid (CMS). Please also review the separate program-specific Addendum to these Terms and Conditions applicable to each program.

By acceptance of the individual awards, each grantee agrees to comply with these requirements. Failure to comply may result in the loss of Federal funds and may be considered grounds for the suspension or termination of the grant.

### **ADMINISTRATIVE REQUIREMENTS**

1. These programs are governed by the following Federal regulations:

- **2 CFR Part 376** – Nonprocurement Debarment and Suspension;
- **2 CFR Part 382** – Requirements for Drug-Free Workplace (Financial Assistance);
- **45 CFR Part 16** – Procedures of the Departmental Grant Appeals Board;
- **45 CFR Part 30** – Claims Collection;
- **45 CFR Part 75** – Uniform Administrative Requirements, Cost Principles and Audit Requirements for HHS Awards;
- **45 CFR Part 80** – Nondiscrimination Under Programs Receiving Federal Assistance through the Department of Health and Human Services, Effectuation of Title VI of the Civil Rights Act of 1964;
- **45 CFR Part 81** – Practice and Procedure for Hearings Under Part 80 of this Title;
- **45 CFR Part 84** – Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving Federal Financial Assistance;
- **45 CFR Part 86** – Nondiscrimination on the Basis of Sex in Education Programs and Activities Receiving or Benefiting from Federal Financial Assistance;
- **45 CFR Part 87** – Equal Treatment for Faith-Based Organizations;
- **45 CFR Part 91** – Nondiscrimination on the Basis of Age in HHS Programs or Activities Receiving Federal Financial Assistance;
- **45 CFR Part 93** – New Restrictions on Lobbying;
- **45 CFR Part 95** – General Administration – Grant Programs;
- **45 CFR Part 100** – Intergovernmental Review of Department of Health and Human Services Programs and Activities.

2. In accordance with Public Law 103-333, the “Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act of 1995,” the following provisions are applicable to the mandatory grant programs:

- Section 507: “Purchase of American-Made Equipment and Products - It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available in this Act should be American-made.”

- Section 508: “When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all States receiving Federal funds, including but not limited to State and local governments and recipients of Federal research grants, shall clearly state (1) the percentage of the total costs of the program or project which will be financed with Federal money, (2) the dollar amount of Federal funds for the project or program, and (3) percentage and dollar amount of the total costs of the project or program that will be financed by nongovernmental sources.”

3. *Drug-Free Workplace Requirements.* In accordance with provisions of Title V, Subtitle D of Public Law 100-690 (41 USC 701 et. seq.), the “Drug-Free Workplace Act of 1988,” all grantees must maintain a drug-free workplace and must publish a statement informing employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the workplace and establishing the actions that will be taken against employees violating these prohibitions. The grantee must notify CMS if an employee is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for debarment. (See 2 CFR Part 382)

4. *Smoking Prohibitions.* In accordance with Title XII of Public Law 103-227, the “PRO-KIDS Act of 1994,” smoking may not be permitted in any portion of any indoor facility owned or regularly used for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs wither directly or through State or local governments. Federal programs include grants, cooperative agreements, loans and loan guarantees, and contracts. The law does not apply to children’s services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions or facilities and used for inpatient drug and alcohol treatment.

The above language must be included in any subawards that contain provisions for children’s services and that all sub-grantees shall certify compliance accordingly. Failure to comply with the provisions of this law may result in the imposition of a civil monetary penalty of up to \$1,000 per day.

5. *Religious Activity Prohibitions.* Direct Federal grants, sub-awards, or contracts under these programs shall not be used to support inherently religious activities such as religious instruction, worship, or proselytization. Therefore, organizations must take steps to separate, in time or location, their inherently religious activities from the services funded under these programs. (See 45 CFR Part 87)

6. *Lobbying Prohibitions.* Federal grant funds provided under these awards may not be used by the grantee or any sub-grantee to support lobbying activities to influence proposed or pending Federal or State legislation or appropriations. This prohibition is related to the use of Federal grant funds and is not intended to affect an individual’s right or that of any organization, to petition Congress, or any other level of Government, through the use of other resources. (See 45 CFR Part 93.)

7. *Same-Sex Marriage Provisions.* In accordance with the decision in *United States v. Windsor* (133 S. Ct. 2675 (June 26, 2013)); Section 3 of the Defense of Marriage Act, codified at 1 USC 7, in any grant-related activity in which family, marital, or household considerations are, by statute or regulation, relevant for purposes of determining beneficiary eligibility or participation,

grantees must treat same-sex spouses, marriages, and households on the same terms as opposite sex spouses, marriages, and households, respectively. By "same-sex spouses," HHS means individuals of the same sex who have entered into marriages that are valid in the jurisdiction where performed, including any of the 50 states, the District of Columbia, or a U.S. territory or in a foreign country, regardless of whether or not the couple resides in a jurisdiction that recognizes same-sex marriage. By "same-sex marriages," HHS means marriages between two individuals validly entered into in the jurisdiction where performed, including any of the 50 States, the District of Columbia, or a U.S. territory or in a foreign country, regardless of whether or not the couple resides in a jurisdiction that recognizes same-sex marriage. By "marriage," HHS does not mean registered domestic partnerships, civil unions or similar formal relationships recognized under the law of the jurisdiction of celebration as something other than a marriage.

8. *Human Trafficking Provisions.* These awards are subject to the requirements of Section 106(g) of the “Trafficking Victims Protection Act of 2000” (22 USC 7104).

9. *Transparency Act Requirements.* Awards under these programs are included under the provisions of P.L. 109-282, the “Federal Funds Accountability and Transparency Act of 2006” (FFATA). Under this statute, the State is required to report information regarding executive compensation and all subgrants, contracts and subcontracts in excess of \$25,000 through the Federal Subaward Reporting System (<https://www.fsr.gov/>) and in accordance with the terms found in Federal regulations at 2 CFR Part 170, including Appendix A. (NOTE: This requirement became applicable to all mandatory grant programs July 1, 2011.)

#### 10. *Federal Awarding Agency Review of Risk Posed by Applicants*

As required by 2 CFR 200 of the Uniform Guidance and HHS implementing regulations (45 CFR Part 75) effective January 1, 2016, CMS is issuing guidance to implement the mandatory disclosures provision at 45 CFR 75.113. CMS is required to review and consider any publicly available information about the applicant that is in the Federal Awardee Performance and Integrity Information System (FAPIIS), <https://www.fapiis.gov> (45 CFR 75.205(a)(2)). Before making any award in excess of the simplified acquisition threshold (currently \$150,000) over the period of performance (45 CFR 75.2). An applicant may review and comment on any information about itself that a federal awarding agency has previously entered into FAPIIS. CMS will consider any comments by the applicant, in addition to other information in FAPIIS, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 CFR §200.205 Federal Awarding Agency Review of Risk Posed by Applicants ([http://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200\\_1205&rgn=div8](http://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200_1205&rgn=div8)).

11. *Construction Prohibitions.* Unless superseded by program-specific regulations, these awards may not be used for construction or the purchase of land.

### **SUB-RECIPIENTS UNDER GRANTS**

12. Grantees are required to determine recipient type when sub-granting or contracting using Federal funds. In accordance with the standards set in 45 CFR 75.351, the determination is based on the substance of the relationship with the grantee, rather than the form of the agreement.

- The presence of one or more of the following conditions would indicate that the sub-recipient should be considered a *subgrantee* and is subject to the provisions of 45 CFR Part 75 Subpart F:
  - a. Determines who is eligible to receive what Federal financial assistance;
  - b. Has its performance measured against whether the objectives of the Federal program are met;
  - c. Has responsibility for programmatic decision making;
  - d. Has responsibility for adherence to applicable Federal program compliance requirements;
  - e. Uses the Federal funds to carry out a program of the organization as compared to providing goods or services for a program of the pass-through entity;

- The presence of one or more of the following conditions would indicate that the sub-recipient should be considered a *vendor* or *contractor* and is not subject to the provisions of 45 CFR Part 75 Subpart F:
  - a. Provides the goods and services within normal business operations;
  - b. Provides similar goods or services to many different purchasers;
  - c. Operates in a competitive environment;
  - d. Provides goods or services that are ancillary to the operation of the Federal program;
  - e. Is not subject to compliance requirements of the Federal program.

13. No organization may participate in these programs in any capacity or be a recipient of Federal funds designated for these programs if the organization has been debarred or suspended or otherwise found to be ineligible for participation in Federal assistance programs under Executive Order 12549, "Debarment and Suspension." (See 45 CFR 75.212.) Grantees must include a similar term and/or condition for all sub-awards or contracts awarded under these programs. Prior to issuing subawards or contracts under this grant, the grantee must consult the ineligible parties list to ensure that organizations under funding consideration are not ineligible. The list is available on the System for Award Management website: <https://www.sam.gov>.

14. Each grantee is responsible for monitoring grant, sub-recipient and contract supported activities to assure compliance with Federal requirements and that performance goals are being achieved. Grantee monitoring must cover each program, function and activity. (See 45 CFR 75.342.)

15. Each grantee is required to advise sub-recipients of requirements imposed on them by Federal laws, regulations, and the provisions of grant agreements or contracts as well as any supplemental requirements imposed by the grantee. These include grant administrative and audit requirements (where applicable) under 45 CFR Part 75

- Cost principles for non-profit organization and educational institution sub recipients are found at 45 CFR Part 75 Subpart E.
- Cost principles for commercial vendor or subcontractor sub recipients are found at 48 CFR Part 31.

16. Grantees must ensure that any non-Federal sub-recipient that expends Federal funds totaling \$750,000 or more during the course of its fiscal year must arrange for a financial audit in compliance with the requirements of 45 CFR Part 75 Subpart F.

## **NON-FEDERAL SHARE OF PROGRAM FUNDING**

17. For some mandatory grant programs, the grantee is required to provide a portion of program funding, as specified in Federal law.

- In most instances, all of the non-Federal share of funding for these programs will be appropriated specifically for that purpose by a State legislature or provided through other grantee funding sources;



- Third party in-kind contributions may not be used as the non-Federal share of any program expenditure, unless specifically allowed for that purpose in the Federal statute applicable to that program
- Donated funds may be used as the non-Federal share under the following conditions:
  - a. The donor may specify the activities to be supported by the donation, but may not be a sponsor or operator of the specified activity. Any specified activity must be an allowable expense under all applicable laws, regulations and policies governing these programs;
  - b. The donor may specify the geographic area in which the specified activity is to be provided;

## FINANCIAL REPORTING

18. *Required On-Line Reporting.* CMS requires submitting quarterly financial reports SF-425 only through PMS in a consolidated single reporting system. Both, the cash transaction (Lines 10 a, b and c) and the expenditures, obligations and liquidations (Lines 10 d through 10 o).

19. *Report Submission Deadline.* Unless superseded by program-specific statute or regulations or by CMS policy, in accordance with 45 CFR 75.341, the deadline for submitting the required Federal reporting is 30 days after the end of each quarter (i.e., by January 30, April 30, July 30 and October 30) and 90 days after the project has ended.

20. *Other Reporting.* The recipient shall provide ongoing ad hoc status updates at the request of the CMS Project Officer.

21. *Annual and Final FFR.* In addition to submitting the quarterly cash transaction FFRs to PMS, Recipients must also provide annual and final FFRs to PMS which includes their expenditures and any program income generated in lieu of completing a Financial Status Report (FSR) (SF-269/269A). Expenditures and any program income generated should only be included on the annual and final FFRs. The annual FFR is due 90 calendar days after the first budget period end date. The final FFR must be submitted within 730 calendar days of the project period end date. Due to the nature of the 1332 program the Annual FFR for the final year is still due 90 days from the end of the calendar year, but the Final FFR will be do no later than 730 calendar days from the project period end date.

See below for due date for the annual FFR:

Budget Period	Reporting Period Due Date
January 1, 2022 to December 31, 2022	March 31, 2023

See below for the due date for the final FFR:

Project period	Reporting Period and Due Date
January 1, 2021 to December 31, 2025	<i>Final report</i> – 60-month reporting period—January 1, 2021 to December 31, 2025  DUE: March 31, 2027

22. *Final Reports.* The Final FFR must be submitted through the Payment Management System as part of the close out process. The final FFR must show cumulative expenditures under the award and any unobligated balance of federal funds and as appropriate, all other parts of the form must be completed except for line items 10.a through 10.c. Federal cash information (lines 10.a through 10.c) will be reported to the Payment Management System established for submission of these. The final expenditure report cannot show any unliquidated obligations. Per 45 CFR §75.309(b), a non-Federal entity must liquidate all obligations incurred under the award not later than 90 days after the end of the funding period (or as specified in a program regulation) to coincide with the submission of the final FFR. Recipient must include information on indirect costs if approved as part of grant award. This deadline may be extended with prior written approval from CMS. Instructions on how to complete the FFR can be found at: [http://www.dpm.psc.gov/grant\\_recipient/guides\\_forms/ffr\\_instructions\\_manual.aspx](http://www.dpm.psc.gov/grant_recipient/guides_forms/ffr_instructions_manual.aspx)

## GRANT PAYMENTS

23. Payments (cash drawdowns) under these grants will be made through the Department of Health and Human Services' Payment Management System (PMS). The State must comply with requirements imposed by the PMS on-line system. Please direct any questions concerning grant payments or audit inquiries to the payment management services office. (See "Important Addresses," below).

## IMPORTANT ADDRESSES

CMS Contact:

Robert Yates

Phone 301-492-5151

Email: [Robert.Yates@cms.hhs.gov](mailto:Robert.Yates@cms.hhs.gov)

Centers for Medicare and Medicaid Services

U.S. Department of Health and Human Services

7500 Security Boulevard, Baltimore, MD 21244

Payment Management Services

Payment Management System (PMS)

P.O. Box 6021

Rockville, Maryland 20852

Contact: PMS Help Desk

Phone: (877) 614-5533

Internet site: <http://www.dpm.psc.gov>

***IMPORTANT NOTE:*** The *Office of the Inspector General* of the U.S. Department of Health and Human Services maintains the OIG Hotline, a system for reporting allegations of fraud, waste, abuse and mismanagement in Department of Health and Human Services' programs. Your information will be reviewed by a professional staff member and will remain confidential; you need not provide your name. Information provided through the Internet web site is secure and all information is safeguarded against unauthorized disclosure. Report the possible misuse of

federal funds by phone or online. Please provide as much detailed information as possible in your report.

**OIG Hotline**

- Phone: 1-800-HHS-TIPS
- Online: [oig.hhs.gov/report-fraud](https://oig.hhs.gov/report-fraud)