



Advanced Metrics
320 Highland Drive
Mountville PA, 19607

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Attention: Innovations Institute & Partners

Re: IT Vendor Security Assurance Requirements

To all Chief Information Security Officers, IT and Technical Partners of Innovations Institute

The software application, Innovate Practice, provided to Innovations Institute by Advanced Metrics, is hosted by Microsoft Azure. In support of your objective to document assurances of securities, you will find detailed information contained within this document.

End-users can access Innovate Practice at the URL: www.innovatepractice.org

I hope that the enclosed documents meet your needs. If you have any further requirements, please do not hesitate to contact me.

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President and CEO

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Information Technology Security Point of Contact

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Information about Advanced Metrics

Advanced Metrics began developing life science software within the University of Maryland, School of Medicine, Department of Psychiatry in 2005, with the mission of developing a clinical outcomes management system for behavioral health providers that could be utilized within a continued quality improvement framework (CQI). Advanced Metrics evolved into a private sector company in 2012 with the mission to improve lives by empowering community and health-based services with science informed software and human centered data analysis.

The company is composed of a team of professionals with expertise in software engineering, implementation and training, data analysis, and behavioral and mental health. Advanced Metrics retains board certified clinicians on staff to consult on software development. Additionally, Advanced Metrics relies on scientific advisors who are experts in their fields to provide guidance when developing innovative software platforms. The team is focused on developing and implementing quality software solutions to meet the needs of human service agencies, educational institutions, and healthcare organizations. Additional information can be found on the Advanced Metrics website: <https://advancedmetrics.net/>.

Advanced Metrics is a certified Benefit Corporation (B-Corp) which demonstrates the company's commitment to consider and address the impact of business decisions on employees, customers, suppliers, community, and the environment. Advanced Metrics meets the threshold of a small business and regularly works cooperatively with veteran, women, and minority owned businesses as part of our regular business practices.

Partnership: Innovations Institute and Advanced Metrics

Advanced Metrics was founded at the University of Maryland, in 2012, with the mission to improve lives by empowering community and health-based services with science-informed software and human-centered data analysis. When Advanced Metrics departed from the University to grow the business and its fleet of software, the University maintained 10% ownership of the business. The University does not have governing rights as outlined within the operating agreement, though does receive royalties at the end of each quarter. Innovations Institute at the University of Connecticut, School of Social Work is working in partnership with Advanced Metrics to build Innovate Practice: An Asynchronous Virtual Coaching Platform. The Innovate Practice platform provides oversight for the evidence-based practices (EBPs) of Wraparound, FOCUS, PEARLS, and MRSS while being flexible to accommodate additional EBPs. The platform is designed to meet coaching and coaching certification needs and support Innovations initiatives and quality workforce development. Since 2019, Advanced Metrics and Innovations have been working in partnership, in a variety of capacities, to develop this platform. The collaboration and partnership have produced not just an above par platform but also a shared belief about our opportunities for its expansion to other needs within the

Innovations Institute.

Data Storage

All data is stored in a secure hyperscale cloud platform. Individuals can access and review their personal data and administrative personal are able to view stored aggregate and individual records. Additional information related to data storage is included in the Data Protection and Compliance section of this document.

Data Protection and Compliance

Advanced Metrics follows a multi-pronged process of ensuring our software application's security by following industry best practice around all compliance standards. Advanced Metrics is fully compliant with the Health Insurance Portability and Accountability Act of 1996, including the Standards for Privacy, Electronic Transactions and Security. Advanced Metrics is also fully compliant with the Family Educational and Privacy Act of 1974 (FERPA). Advanced Metrics works closely with each user entity to ensure that any needed securities and technical policy and procedures are addressed in accordance with agency, county, state, and federal guideline. The Advanced Metrics Security Officer, Privacy Officer, Compliance Officer, SOC2 Committee and Fraud Committee oversee this process.

SOC2 Certification

Advanced Metrics is System and Organization Controls 2 (SOC2) certified. SOC2 is a type of audit that attests to the quality of services provided by a vendor and assesses the risks associated with the vendor's software solutions. Being SOC2 certified designates that Advanced Metrics has met the highest standards related to:

- *Confidentiality of information* including data encryption, network firewalls, software firewalls and access controls.
- *Integrity of storage* meaning customer data is processed in a reliable and timely manner and according to Service Level Agreements (SLAs).
- *Software availability* meaning the software product is available per the agreement between vendor and customer.
- *Privacy of information* meaning the software product collects, discloses, stores, and uses Personal Identifiable Information (PII) and Personal Health Information (PHI) according to established principals of privacy.
- *Security of information* speaks to the vendors implemented security tools including web application firewalls, encryption, and intrusion detection in addition to administrative controls such as background checks and authorizations.

FERPA and HIPAA Compliance

Advanced Metrics is committed to protecting the privacy of the health information of its users and the user's clientele. To adhere to this commitment, Advanced Metrics engages in a multi-

pronged approach to data safety and security. Within business operations, Advanced Metrics have a strict standard of HIPAA and FERPA compliance. Within software development, Advanced Metrics utilizes a secure cloud-based network and adhere to user roles and permissions to maintain privacy of sensitive data. Advanced Metrics completes compliance efforts and maintains reporting mechanisms that are required by law or requested by our customers. This includes the utilization and enactment of appropriate Business Associates Agreements (BAA).

Additionally, Advanced Metrics works with a third-party auditor, The Compliancy Group (<https://compliancy-group.com/>) to identify security and compliance gaps, risk mitigation and assist in the development of a remediation plan should any gaps be identified during the annual audit. The Compliancy Group has awarded Advanced Metrics the HIPAA Seal of Compliance. The HIPAA Seal of Compliance is the healthcare industry standard for verification. Federally-mandated HIPAA standards, regulated by the Department of Health and Human Services' (HHS) Office for Civil Rights (OCR), are fully addressed and incorporated into an effective, organization-wide compliance program (The Compliancy Group, <https://compliancy-group.com/hipaa-compliance-verification/>).

Cloud Storage

Advanced Metrics' applications are hosted in Microsoft Azure, a multi-tenant hyperscale cloud platform. Azure data centers feature planned redundancy, multiple power sources, multiple uplinks, extensive physical security, and all components are fault tolerant. Microsoft Azure uses third-party audits to ensure that Advanced Metrics hosted applications adhere to strict security controls. Microsoft Azure is compliant with industry-specific standards and provides supporting documentation for key regulations including HIPAA, HITECH, ISO/IEC 27001 and ISO/IEC 27018, FedRAMP, and SOC 1, 2, and 3 Reports.

HIPAA requirements outline that covered entities and their business associates enter into contracts to ensure adequate protection of PHI. Microsoft Azure offers BAAs as appropriate with their business partners. A copy of the HIPAA BAA with Microsoft Azure is available upon request.

Policy and Procedures

Advanced Metrics and all Advanced Metrics employees adhere to a strict set of HIPAA policy and procedures that are reviewed quarterly. Criminal and FBI background checks are secured for each employee at Advanced Metrics. Advanced Metrics has implemented policies, processes, and procedures to ensure compliance with Federal and State information security laws, regulations, and rules. This is maintained through The Guard Compliancy Group.

Advanced Metrics has office locations in both Lancaster, Pennsylvania and Baltimore, Maryland. Advanced Metrics has policies in place to address current remote work contingencies and

strategies. Home audits are completed on each of these remote facilities to ensure data security and mitigate any potential risk.

Role Based Security

As data protection and security is critical, all Advanced Metrics solutions utilize the concept of role-based access. Users are assigned privileges, claims, and permissions to access specific areas of the software application. Users will only have access to the information needed to complete their job duties. System administrators can deactivate users when they are no longer employed or no longer need access to the system.

Membership and Certifications

As mentioned earlier in this document, Advanced Metrics holds the following best in class certifications.

- SOC2 Certification (<https://www.aicpa.org/>). SOC2 is a type of audit that attests to the quality of services provided by a vendor and assesses the risks associated with the vendor's software solutions.
- HIPAA Seal of Compliance (<https://compliance-group.com/>). The HIPAA Seal of Compliance is a verification that Advanced Metrics meets health care standards related to HIPAA compliance.
- Benefit Corporation (<https://bcorporation.net/>). Certified Benefit Corporations (BCorps) are businesses that meet the highest standards of verified social and environmental performance, public transparency, and legal accountability to balance profit and purpose.

Advanced Metrics is also a member of multiple professional organizations.

- RCPA (<https://www.paproviders.org/>). RCPA is a membership organization that represents the needs of health and human service organizations.
- Lancaster Chamber of Commerce (<https://www.lancasterchamber.com/>). Lancaster Chamber of Commerce is a network of employees and employers invested in and working towards a better Lancaster, Pennsylvania.
- Family Focused Treatment Association (<https://www.ffa.org/>). Is a non-profit association developed to promote and support treatment foster care programs across North America.
- Technology Council of Central Pennsylvania (<https://www.tccp.org/>). TCCP connects members and organizations to promote technology and economic development in Central Pennsylvania.
- Healthcare Information Management Systems and Society (<https://www.himss.org/>). Healthcare Information Management Systems and Society (HIMSS) is a health

information and technology association that connects invested parties on best practice initiatives.

Available Upon Request

Microsoft Azure Compliance Offerings Document: General Overview

Microsoft Azure Service Organization Control (SOC) Report, Type II

Results of a Stage 2 assessment against the ISO 27001:2013 security control baseline

FedRAMP SAR: FedRAMP Authorization to Operate (P-ATO) Letter

HITRUST 3rd party Assessment Report

Level 2 Cloud Security Alliance STAR Attestation

Level 2 Cloud Security Alliance STAR Certification