



MISSISSIPPI DIVISION OF  
**MEDICAID**

## REQUEST FOR PROPOSALS

Independent Verification and Validation (IV&V) of  
Electronic Health Records and E-Prescribing System Upgrade  
(MEHRS/eScript)

RFP# 20130303

Contact:

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Due Dates:

Official Questions

E-MAIL or MAIL or HAND DELIVERY

5:00 PM Central Standard Time, Friday, March 11, 2013

Answers Posted to Internet [www.Medicaid.ms.gov/bids.aspx](http://www.Medicaid.ms.gov/bids.aspx)

5:00 PM Central Standard Time, Friday, March 15, 2013

Sealed Proposals

MAIL or HAND DELIVERY ONLY

5:00 PM Central Standard Time, Monday, March 25, 2013

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## **1.0 SCOPE OF WORK**

### **1.1 PURPOSE**

The State of Mississippi, Office of the Governor, Mississippi Division of Medicaid (DOM) issues this request for proposals (RFP) to solicit offers from experienced Independent Verification and Validation Vendors who can provide Quality Assurance and Control Services for the MEHRS/eScript Upgrade project.

The IV&V Contractor, through its contract with DOM, shall be responsible to DOM for monitoring performance and providing quality assurance and support services in the upgrade to the existing MEHRS/eScript system. The IV&V contract will expire three (3) months after successful Design, Development and Implementation (DDI) of the MEHRS/eScript Upgrade System. The Contract period is estimated to be six (6) months in total duration. DOM expects the IV&V Contractor to be a key member of DOM Project team. As such, the IV&V Contractor is expected to attend all project meetings, status meetings and walk-throughs in order to have a full understanding of all processes.

The IV&V Contractor's primary responsibility will be monitoring the overall project performance, including the performance of the individual team members from the MEHRS/eScript Upgrade Contractor(s) and from DOM. The IV&V Contractor shall ensure the requirements set forth in the MEHRS/eScript Upgrade Contractor's Statements of Work, attached as Exhibit 3 and Exhibit 4, are fully completed and accomplished in a timely manner.

### **1.2 BACKGROUND**

The Mississippi Division of Medicaid (DOM) has implemented a system known as Medicaid Electronic Health Record System and e-Prescribing (MEHRS/eScript). The MEHRS/eScript system was launched in June 2010 and is available to all Mississippi Medicaid Providers at no charge.

The MEHRS/eScript system offers Medicaid Providers capabilities for:

- An Electronic Health Record (EHR) based on data from Medicaid claims, showing a rolling 36-month history of procedures, diagnoses, and medications for each Medicaid beneficiary;
- E-prescribing, based on Medicaid formularies, with drug utilization review alerts;
- Opportunities for care improvement when comparing a patient's information against evidence-based quality measures; and
- Entry of patient-reported allergies, immunizations, self-reported medications, and vitals.

The goals for the MEHRS/eScript project include:

- Online Provider access to Medicaid beneficiaries' claims-based medical and medication history;

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- Identification and treatment of health problems at the point of care with the potential for reduction of duplicated procedure expenses;
- Access to beneficiary history in situations where the beneficiary is unable to communicate;
- Access to beneficiary history in times of disaster; and
- Reduction in prescription errors due to elimination of hand-written scripts.

In 2012, DOM was informed that its current MEHRS/eScript vendor would not be delivering an Office of National Coordinator (ONC) Authorized Testing and Certification Body (ATCB) Certified Version of the MEHRS/eScript solution. As DOM has providers who are relying on the MEHRS/eScript system for meeting the criteria of Stage 1 Meaningful Use (MU), DOM will upgrade the current MEHRS/eScript system to an ONC certified EHR and ePrescribing system. DOM’s goal is to have a certified EHR rolled out to providers in early 2013 to allow for providers on the current MEHRS/eScript system to upgrade to the new, ONC ATCB Certified MEHRS/eScript system and thus attest to Stage 1 Meaningful Use.

See Section 2.0 Authority for information on ONC ATCB and Meaningful Use.

For information regarding the Upgrade and contractors performing the MEHRS/eScript Upgrade, see Appendices.

### **1.3 PROCUREMENT OVERVIEW**

The following timetable is the estimated and anticipated timetable for the RFP and procurement process.

**Table 1: RFP and Procurement Timetable**

<b>Date</b>	<b>Process</b>
March 3, 2013	Release RFP for Bids
March 11, 2013	Deadline for Official Questions
March 15, 2013	Response to Questions Posted
March 25, 2013 (5:00 p.m. CST)	Proposal Deadline
March 26 - 28, 2013	Evaluation of Technical Proposal
March 29, 2013	Evaluation of Business Proposal
April 5, 2013	Executive Review and Award
April 8, 2013	Contract Start

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### **1.3.1 Procedure for Submitting Questions**

Offerors may submit questions for official response. The deadline for submitting questions is Friday, March 11, 2013. Multiple questions may be submitted using the template at [www.medicaid.ms.gov/bids.aspx](http://www.medicaid.ms.gov/bids.aspx). Written answers will be available no later than 5:00 PM CST, Wednesday, March 15, 2013, via DOM's procurement Website, [www.medicaid.ms.gov/bids.aspx](http://www.medicaid.ms.gov/bids.aspx). Questions and answers will become part of the final Contract as an attachment. Written responses provided for the questions will be binding.

Questions should be sent to:

Melanie Wakeland  
Procurement Officer  
Division of Medicaid  
Walter Sillers Building  
550 High Street, Suite 1000  
Jackson, Mississippi 39201  
Email: [melanie.wakeland@medicaid.ms.gov](mailto:melanie.wakeland@medicaid.ms.gov).

### **1.3.2 Proposal Submission Requirements**

Proposals must be in writing and must be submitted in two parts: 1) Technical Proposal; and 2) Business Proposal. The format and content of each proposal are specified in Sections 5 and 6, respectively, of this RFP.

Technical Proposals for the RFP must be submitted in three-ring binders with components of the RFP clearly tabbed. An original and six (6) copies of the Technical Proposal under sealed cover and an original and three (3) copies of the Business Proposal under separate sealed cover must be received by DOM no later than 5:00 p.m. CST, on Monday, March 25, 2013. The Offeror must also submit one (1) copy of the Technical Proposal on CD in a single document in a searchable Microsoft Word or Adobe Acrobat (PDF) format. Any proposal received after this date and time will be rejected and returned unopened to the Offeror. Proposals should be delivered to:

Melanie Wakeland  
Procurement Officer  
Division of Medicaid  
Walter Sillers Building  
550 High Street, Suite 1000  
Jackson, Mississippi 39201

The outside cover of the package containing the Technical Proposal shall be marked:

RFP # 20130303  
Technical Proposal

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(Name of Offeror)

The outside cover of the package containing the Business Proposal shall be marked:

RFP # 20130303  
Business Proposal  
(Name of Offeror)

As the proposals are received, the sealed proposals will be date-stamped and recorded by DOM. The Offeror is responsible for ensuring that the sealed competitive proposal is delivered by the required time and to the required location and assumes all risks of delivery. A facsimile proposal will not be accepted. Each proposal must be signed in blue ink by an official authorized to bind the Offeror to the proposal provisions. Proposals and modifications thereof received by DOM after the time set for receipt or at any location other than that set forth above will be considered late and will not be considered for award.

**1.4 IV&V CONTRACTOR PRIMARY RESPONSIBILITIES**

The IV&V Contractor shall be responsible for evaluating each deliverable and recommending corrective action when activities and/or deliverables fail to meet the work plan established by the MEHRS/eScript Upgrade Contractor(s). The MEHRS/eScript Upgrade Contractor’s work plan is an early deliverable by the Upgrade Contractor(s), to be delivered at project initiation.

The IV&V Contractor shall track the project schedule to ensure timely completion of tasks by the MEHRS/eScript Upgrade Contractor and DOM, and to evaluate the quality of deliverables produced.

The expected deliverables for the MEHRS/eScript Upgrade project are:

Prime Contractor Deliverables

Document Name	Description
Product Documentation	Detailed product documentation for the solution to be installed at DOM. Access to the Orion Health Doki (Doki is the Orion Health portal for access to all Orion Health product documentation) will be provided to DOM resources. The Doki holds product, user, system administration and technical training administration guides. Note: User training guides can be distributed to relevant stakeholders. Technical documentation needs to remain within DOM
Readiness Task Order	Task list for determining readiness of Practices to join EMR Lite – Note readiness assessments will be completed by the PSAMs
Implementation Planning Study	System Requirement Specification Interface Specification Implementation Plan
Site Specific Configuration Document	Describes all the solution configuration elements used to deliver the functionality and make it DOM specific. Will be provided



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	following Acceptance Configuration management Solution design document
Project Management Plan	
Project Management Reporting	Weekly Project Progress and Budget Reporting Monthly Staffing Report (additions/turnover)
SSAE16 Audit report	SSAE16 Audit report on Orion’s hosting partner to be completed annually and provided to DOM on request pending a NDA signed between DOM and Orion’s hosting partner - Logicworks. Refer to Appendix D for AMS responsibilities
Training Materials	<ul style="list-style-type: none"> <li>a. Training Plan</li> <li>b. Documentation for the Train the Trainer sessions</li> <li>c. Application Overview</li> <li>d. Features &amp; Benefits</li> <li>e. MEHRS eScript CDS</li> <li>f. MEHRS eScript System</li> <li>g. MS Division</li> <li>h. eScript</li> </ul>
Project Transition to Operations	
Hosting	Information Security Business Continuity and DR Plan Test Plan
Separation Plan	A detailed plan to transition at the end of the contract, regardless of how it is terminated; This would not be written 'til termination is near

Subcontractor Deliverables

Number	Deliverable
1.	Project Plan
2.	Implementation Plan
3.	Project Status Report
4.	System Requirements Specification
5.	Business Rule Reference (within system)
6.	Business Continuity
7.	Disaster Recovery Plan

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8.	System Documentation
9.	Solution Design Document
10.	User Acceptance Test Plan
11.	Project Training Plan
12.	Associated Training Materials
13.	User Interface Training Materials
14.	Interface Specification
15.	Interface Design
16.	Interface Testing Report

The Contractor must ensure compliance with all federal and state requirements, and prepare appropriate documentation for any federal reviews, including updates to federal planning documents required for this project.

### 1.5 OTHER IV&V CONTRACTOR RESPONSIBILITIES

DOM requires the IV&V Contractor's Project Manager to work onsite at DOM in Jackson, MS during DDI. The IV&V Contractor is encouraged to provide additional on-site IV&V Project Team members in Jackson, MS during DDI.

The IV&V Contractor's staff must be made available after normal working hours on an as-needed basis with prior notification.

The IV&V Contractor shall assist DOM in evaluating feedback from stakeholders and recommend changes in how DOM implements the upgraded MEHRs system or new components. The IV&V Contractor shall be expected to participate in the identification and resolution of stakeholder concerns.

The IV&V Contractor shall propose and present a method of soliciting and documenting concerns and reactions of staff, as well as a means of analyzing and responding to those concerns.

A critical element of the MEHRs/eScript Upgrade Project is the work of Provider Services Account Managers (PSAMs), who are tasked with onboarding and facilitating the utilization of the solution by healthcare providers. To determine the effectiveness of the PSAM Services, the IV&V Contractor shall be responsible for performing random reviews across the State of Mississippi with MEHRs/eScript adopters (providers), both via telephone provider interviews and by clinic visits (in the field). The IV&V Contractor should perform a minimum of 5 telephone interviews at the clinic level per month, and 2 clinic visits per month (without the PSAM). The review should be designed to provide DOM with an assessment of the training received, the follow-up visits by the PSAM and the responsiveness of the Help Desk. Audit results from the review should result in a deliverable document with results and recommendations delivered to DOM monthly.

The period of performance of this duty will be for the 3 months post go-live of the MEHRs/eScript Solution. More information on the PSAMs, the PSAM duties, and the PSAM processes can be found in the Exhibit 3.

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## **1.6 REQUIRED OVERSIGHT TASKS**

The IV&V Contractor's objective must be to perform an independent and on-going review and analysis of the DDI of the Upgrade as well as post go-live tasks. This involves participating as a member of DOM's in-house implementation team throughout the project, as needed.

The IV&V Contractor shall monitor and evaluate project progress and perform project status reporting. The IV&V Contractor shall meet with the DOM on a regular basis, as determined by mutual agreement between the Chief Systems Information Officer (CSIO) and the Contractor.

The IV&V Contractor shall provide written recommendations to the CSIO prior to finalizing the MEHRS/eScript Upgrade Contractor's 1) Work Plan 2) Functional Design Specification 3) Readiness Task Order 4) Site-Specific Configuration Document.

The IV&V Contractor shall serve as a technical resource, monitor all facets of the project and will participate with the MEHRS/eScript Upgrade Contractor and DOM project teams in the initial creation of the system requirements specification, business rule reference, information security plan, business continuity and disaster recovery plan, solutions design document, interface requirements specification, interface design document, test plan and implementation plan. The IV&V Contractor shall identify any deficiencies, along with recommended solutions, needing to be addressed by the CSIO and the MEHRS/eScript Upgrade contractor.

The IV&V Contractor shall monitor DOM rollout activities, and will identify and report any deficiencies or issues needing to be resolved, along with recommended solutions.

## **1.7 TESTING REQUIREMENTS**

The IV&V Contractor shall manage testing activities, including the review of the MEHRS/eScript Upgrade contractor's test plan; submit recommendation for improvement, and or recommendation for approval of the plan and evaluate the MEHRS/eScript Upgrade Contractor's test results. These activities are expected for system testing, interface testing, and user acceptance testing.

The IV&V Contractor shall be responsible for the design of UAT test criteria, preparation of test scenarios and administration of the tests. The IV&V Contractor shall participate as a technical resource during UAT Testing and may be asked to conduct tests along with the DOM team.

The design of UAT test criteria and preparation scenarios must be provided for the DOM to review 15 calendar days prior to testing.

The Contractor shall participate in the development of Backup/Disaster Recovery plans and System Security plans.

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## **1.8 PROJECT STATUS REPORTS**

The IV&V Contractor shall provide a written report to the DOM CSIO and DOM Project Manager at least weekly, by Friday close of business. The IV&V Contractor must also provide a written report on each deliverable produced. All reports must be provided in hard copy, electronic file and, where appropriate, using Microsoft Office Suite software and Microsoft Project.

Throughout the contract period, after each review of a draft or final deliverable, the IV&V Contractor shall provide the CSIO and the DOM Project Manager a written assessment of the deliverable and a list of recommended changes.

The IV&V Contractor shall provide, in the weekly status report, areas of monitoring and evaluation of the ongoing assessment of the effectiveness of the MEHRS/eScript Upgrade Contractor and DOM staff. This section of the weekly status report must address:

1. **Organizational structure** – Have constraints and potential impact on the organizational structure been identified?
2. **Scope** – Is the scope being managed to ensure timelines and deliverables meet requirements?
3. **Communication of information** – Is information channeled effectively? Is feedback processed appropriately?
4. **Risk Management** – Is Risk being managed and documented appropriately?
5. **Sequencing of tasks** – Is a formalized critical path in place? Is it inclusive? Are directional changes incorporated at point of occurrence?
6. **Timeliness** – What is the proactive methodology for ensuring that timeframes are met and potential delays are identified?
7. **Milestones** – Are the milestones valid? Will they be achieved based on the existing detailed work plans?
8. **Decisions** – Are determinations made at the appropriate juncture, at the appropriate level, and do they produce the appropriate solution?
9. **Resources** – Have the required personnel resources been made available?
10. **Participation** – Is there adequate involvement of all vested interests?
11. **Commitment** – Has there been a quantitative assessment of staffing levels as to appropriate level of involvement? Are individuals participating at the expected level?

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12. **Controls** – Are the appropriate techniques and procedures being utilized for problem resolution?

The IV&V Contractor shall meet with the DOM CSIO routinely. The purpose of these meetings will be to provide the DOM CSIO with a verbal and written assessment of the project status and make recommendations on any corrective action to keep the project on schedule.

The IV&V Contractor shall provide the DOM CSIO with a Red Flag report promptly upon the following circumstances: (a) any and all significant or serious deficiencies, risks or concerns with the System or its quality, or the design, development or implementation thereof; or (b) any other circumstances which have or if not remedied will likely have a significant or serious negative impact on the Project, the System or the design, development or implementation thereof; including without limitation the cost or time for completion.

## **1.9 PROJECT STAFFING**

The Offeror must propose a staff team with the most appropriate experience and expertise to address the requirements of this RFP, in coordination with Section 5 of this RFP.

In response to this RFP, the Offeror must submit resumes of the proposed staff for the project.

DOM will assess the proposed staff for the following qualifications:

1. Significant experience with industry-standard and best practices regarding quality, quality assurance, and quality control principles and techniques
2. Expertise with automated test tools and their effective use with package acquisition and integration projects
3. Experience in healthcare related concepts, configuration and management, and Health Information Technology and Systems
4. Experience with ONC ATCB Certified EHR Systems and ePrescribing Systems
5. Appropriate experience with the specified relational database, client/server, data capture and web portal technologies in use on the MEHRS/eScript Upgrade project

## **1.10 PROJECT INITIATION**

The Offeror must provide with the response to this RFP, a complete work breakdown structure that will track activities, tasks, milestones, deliverables and resources.

Post Award, the IV&V Contractor shall prepare and obtain DOM approval of the procedures to be used in the quality assurance review of project activities, schedules and deliverables of the MEHRS/eScript Upgrade Contractor.

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Post Award, the IV&V Contractor shall also obtain DOM approval of the formats for all status reports. The IV&V Contractor shall develop the paperwork control procedures to be used for all project reviews and reports. These procedures are to ensure that individuals receive the proper paperwork and, when required, responses are returned in a timely manner. The IV&V Contractor shall be required to place status reports and other project artifacts on a shared document repository provided by DOM.

The final IV&V Contractor work plan will be completed during project initiation and shall be based upon the final MEHRS/eScript Upgrade Contractor work plan.

## **1.11 CONTRACTOR PAYMENT**

The Contractor shall be paid in accordance with the Contractor's bid price proposal set forth in Budget Summary (Appendix A), which shall be a firm and fixed price for the period of the Contract. The Contract award will be based on the submitted price and the total amount payable under the Contract will not exceed the submitted price unless amended by DOM and the Contractor.

Payments will be based on the proposed payment plan by the Contractor and the Agreement that shall be finalized during contract negotiations. Payments will be based upon submitted invoices and progress reports associated with the agreed upon payment plan. Progress reports must provide a description to sufficiently support payment by DOM. The deliverable-based payments for this project will be made only upon DOM acceptance of the prescribed deliverables.

### **1.11.1 Retainage**

To secure the Contractor's performance under this Contract, the Contractor agrees that DOM will hold back as retainage fifteen percent (15%) of each amount payable including amounts payable under Change Orders. The retainage amount will be released upon final acceptance of the upgraded MEHRs System by DOM.

### **1.11.2 Hourly Rates for Change Orders**

The Offeror shall provide fully loaded blended rates for each role proposed role. These rates will be used in pricing of any subsequent change orders.

### **1.11.3 Additional Activities Proposed**

The Offeror is encouraged to recommend best practices or additional activities that would add value to the project in their RFP response. Additional activities should be priced separately from the required activities in the RFP response.

### **1.11.4 Travel**

All travel performed in conjunction with performing the responsibilities of this Contract shall not include any profit for the Contractor. Travel costs should be included in the implementation and operations costs as necessary.

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### **1.11.5 Erroneous Issuance of Compensation**

In the event compensation to the Contractor of any kind is issued in error, the Contractor shall reimburse DOM the full amount of erroneous payment within thirty (30) days of written notice of such error. Interest shall accrue at the statutory rate upon any amounts determined to be due and not repaid within thirty (30) days following the notice. If payment is not made within thirty (30) days following notice, DOM may deduct the amount from the Contractor's monthly administrative invoice.

### **1.12 OFFICE ACCOMMODATIONS**

Because it is necessary for the IV&V Contractor to work very closely with the DOM team, office space, equipment and network connectivity for onsite IV&V Contractor staff members will be provided by DOM in Jackson, Mississippi. With the permission of DOM, certain work can be performed at the IV&V Contractor's site if it can be demonstrated that the off-site work provides a savings to DOM, and the work done offsite does not interfere with or slow the progress of the project, or reduce the quality of the work product(s).

Office accommodations include, but are not limited to, sufficient work space and resources, as well as limited access to the DOM network. If it is determined additional resources are necessary to complete their assigned work, these resources must be approved by the DOM before they can be used.

DOM will provide customary and reasonable office resources and other office supplies that are used in everyday operations. The IV&V Contractor is required to provide computers for the IV&V Contractor staff.

DOM will provide one telephone set and access to DOM's phone system. This agreement does not include long distance service. If long distance service is needed, the contractor must use their own cellular devices or make other arrangements.

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## **2. AUTHORITY**

This RFP is issued under the authority of Title XIX of the Social Security Act, as amended, implementing regulations issued under the authority thereof and under the provisions of the Mississippi Code of 1972, as amended. All Offerors are charged with presumptive knowledge of all requirements of the cited authorities. The submission of a valid executed proposal by an Offeror shall constitute admission of such knowledge on the part of each Offeror. Any proposal submitted by an Offeror that fails to meet any published requirement of the cited authorities may, at the option of DOM, be rejected without further consideration.

Medicaid is a program of medical assistance for the needy administered by each state using state appropriated funds and matching federal funds within the provisions of Title XIX and Title XXI of the Social Security Act, as amended.

In addition, Section 1902(a)(30)(A) of the Social Security Act requires that state Medicaid agencies provide methods and procedures to safeguard against unnecessary utilization of care and services and to assure “efficiency, economy and quality of care.”

### **2.1 ORGANIZATIONS ELIGIBLE TO SUBMIT PROPOSALS**

To be eligible to submit a proposal, an Offeror must provide documentation for each requirement as specified below:

1. The Offeror has not been sanctioned by a state or federal government within the last 10 years.
2. The Offeror must have experience in contractual services providing the type of services described in this RFP.
3. The Offeror must be able to provide all required components detailed in the Scope of Work.

### **2.2 PROCUREMENT APPROACH**

The major steps of the procurement approach are described in detail in Section 3 of this RFP. Proposals must be submitted in two parts: 1) a Technical Proposal; and 2) a Business Proposal. Format and content requirements for each part are specified in Sections 5 and 6, respectively, of this RFP.

### **2.3 ACCURACY OF STATISTICAL DATA**

All statistical information provided by DOM in relation to this RFP represents the best and most accurate information available to DOM from DOM records at the time of the RFP preparation. DOM, however, disclaims any responsibility for the inaccuracy of such data. Should any element of such data later be discovered to be inaccurate, such inaccuracy shall not constitute a basis for contract rejection by any Offeror. Neither shall such inaccuracy constitute a basis for renegotiation of any payment rate after contract award. Statistical information is available on DOM’s Website.



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## **2.4 ELECTRONIC AVAILABILITY**

The materials listed below are on the Internet for informational purposes only. This electronic access is a supplement to the procurement process and is not an alternative to official requirements outlined in this RFP.

Information regarding Meaningful Use can be found at:

[www.healthit.gov/policy-researchers-implementers/meaningful-use](http://www.healthit.gov/policy-researchers-implementers/meaningful-use)

Information regarding ONC ATCB can be found at [www.healthit.gov/policy-researchers-implementers/authorized-testing-and-certifications-bodies](http://www.healthit.gov/policy-researchers-implementers/authorized-testing-and-certifications-bodies).

This RFP will be posted on the bids/proposals page of DOM's Website at [www.medicaid.ms.gov/bids.aspx](http://www.medicaid.ms.gov/bids.aspx). The Official RFP Questions and Answers will be posted on the Website on the date specified in the RFP timetable.

Information concerning services covered by Mississippi Medicaid and a description of DOM's organization and functions can also be found on the bids/proposals page of DOM's Website.

DOM's Website is <http://www.medicaid.ms.gov>. The Website contains information regarding Medicaid Eligibility, Guidelines, Programs, Beneficiary Services, Provider Policies, Bulletins, Pharmacy Services and other information.

State financial information is available at <http://merlin.state.ms.us> under the Public Access query section.

The State of Mississippi portal is <http://www.mississippi.gov>.

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### **3. PROCUREMENT**

#### **3.1 APPROACH**

This RFP is designed to provide the Offeror with the information necessary to prepare a competitive proposal. Similarly, the RFP process is intended to also provide DOM with the necessary information to adequately assist DOM in the selection of a Contractor to provide the desired services. It is not intended to be comprehensive, and each Offeror is responsible for determining all factors necessary for submission of a comprehensive and accurate proposal. In addition, DOM reserves the right to disregard the language or requirements of the RFP if it is determined to be in the best interest of the State.

DOM will ensure the fair and equitable treatment of all persons and Offerors in regards to the procurement process. The procurement process provides for the evaluation of proposals and selection of the winning proposal in accordance with federal law and regulations and state law and regulations, specifically, by appropriate provisions of the State Personal Service Contract Review Board Regulations which are available for inspection at 210 East Capitol Street, Suite 800, Jackson, Mississippi or downloadable at [www.mspb.ms.gov](http://www.mspb.ms.gov).

Separate technical and business proposals must be submitted simultaneously but will be opened at different stages of the evaluation process. Technical Proposals will be thoroughly evaluated in order to determine point scores for each evaluation factor. The evaluation and selection process is described in more detail in Section 7 of this RFP.

Submission of a proposal constitutes acceptance of the conditions governing the procurement, including the evaluation factors contained in Section 7 of this RFP, and constitutes acknowledgment of the detailed descriptions of the Mississippi Medicaid Program.

No public disclosure or news release pertaining to this procurement shall be made without prior written approval of DOM. **FAILURE TO COMPLY WITH THIS PROVISION MAY RESULT IN THE OFFEROR BEING DISQUALIFIED.**

#### **3.2 QUALIFICATION OF OFFERORS**

Each corporation shall report its corporate charter number in its transmittal letter or, if appropriate, have attached to its transmittal letter a signed statement to the effect that said corporation is exempt from the above described, and set forth the particular reason(s) for exemption. All corporations shall be in full compliance with all Mississippi laws regarding incorporation or formation and doing business in Mississippi and shall be in compliance with the laws of the state in which they are incorporated, formed, or organized.

DOM may make such investigations as necessary to determine the ability and commitment of the Offeror to adhere to the requirements specified within this RFP and its proposal, and the Offeror shall furnish to DOM all such information and data for this purpose as may be requested. DOM reserves the right to

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inspect Offeror's physical facilities prior to award to satisfy questions regarding the Offeror's capability to fulfill the requirements of the contract. DOM reserves the absolute right to reject any proposal if the evidence submitted by, or investigations of, such Offeror fail to satisfy DOM that such Offeror is properly qualified to carry out the obligations of the contract and to complete the work or furnish the items contemplated.

The State reserves the right to reject any and all proposals, to request and evaluate "best and final offers" from some or all of the respondents, to negotiate with the best proposed offeror to address issues other than those described in the proposal, to award a contract to other than the low Offeror, or not to make any award if it is determined to be in the best interest of the State.

Discussions may be conducted with offerors who submit proposals determined to be reasonably susceptible of being selected for award. Proposals may also be accepted without such discussions.

### **3.3 RULES OF PROCUREMENT**

To facilitate the DOM procurement, various rules have been established and are described in the following paragraphs.

#### **3.3.1 Restrictions on Communications with DOM Staff**

From the issue date of this RFP until a Contractor is selected and the contract is signed, Offerors and/or their representatives are not allowed to communicate with any DOM staff regarding this procurement except the RFP Issuing Officer, Melanie Wakeland. For violation of this provision, DOM shall reserve the right to reject any proposal.

#### **3.3.2 Amendments to this Request for Proposals**

DOM reserves the right to amend the RFP at any time. All amendments will be posted to the DOM website at <http://www.medicaid.ms.gov/bids.aspx>. After March 25, 2013, Offerors submitting proposals will be notified when amendments are released.

Offerors shall acknowledge receipt of any amendment to the solicitation, by signing the form provided with the amendment, and identifying the amendment number and date in the Offeror's Transmittal Letter. The acknowledgment must be received by DOM by the time and at the place specified for receipt of bids.

#### **3.3.3 Cost of Preparing Proposal**

Costs of developing the proposals are solely the responsibility of the Offerors. DOM will provide no reimbursement for such costs. Any costs associated with any oral presentations to DOM will be the responsibility of the Offeror and will in no way be billable to DOM. If site visits are made, DOM's cost for such visits will be the responsibility of DOM and the Offeror's cost will be the responsibility of the Offeror and will in no way be billable to DOM.

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### **3.3.4 Certification of Independent Price Determination**

The Offeror certifies that the prices submitted in response to the solicitation have been arrived at independently and without, for the purpose of restricting competition, any consultation, communication, or agreement with any other bidder or competitor relating to those prices, the intention to submit a bid, or the methods or factors used to calculate the prices bid.

### **3.3.5 Acceptance of Proposals**

After receipt of the proposals, DOM reserves the right to award the contract based on the terms, conditions, and premises of the RFP and the proposal of the selected Contractor without negotiation.

All proposals properly submitted will be accepted by DOM. However, DOM reserves the right to request necessary amendments from all Offerors, reject any or all proposals received, or cancel this RFP, according to the best interest of DOM and the State of Mississippi.

DOM also reserves the right to waive minor irregularities in bids providing such action is in the best interest of DOM and the State of Mississippi. A minor irregularity is defined as a variation of the RFP which does not affect the price of the proposal, or give one party an advantage or benefit not enjoyed by other parties, or adversely impact the interest of DOM.

Where DOM may waive minor irregularities as determined by DOM, such waiver shall in no way modify the RFP requirements or excuse the Offeror from full compliance with the RFP specifications and other contract requirements if the Offeror is awarded the contract.

DOM reserves the right to exclude any and all non-responsive proposals from any consideration for contract award. DOM will award a firm fixed price contract to the Offeror whose offer is responsive to the solicitation and is most advantageous to DOM and the State of Mississippi in price, quality, and other factors considered. DOM reserves the right to make the award to an Offeror other than the Offeror bidding the lowest price when it can be demonstrated to the satisfaction of DOM, the Governor, and to CMS, if necessary, that award to the lowest price Offeror would not be in the best interest of DOM and the State of Mississippi.

### **3.3.6 Rejection of Proposals**

A proposal may be rejected for failure to conform to the rules or the requirements contained in this RFP. Proposals must be responsive to all requirements of the RFP in order to be considered for contract award. DOM reserves the right at any time to cancel the RFP, or after the proposals are received to reject any of the submitted proposals determined to be non-responsive. DOM further reserves the right to reject any and all proposals received by reason of this request. Reasons for rejecting a proposal include, but are not limited to, the following:

1. The proposal contains unauthorized amendments to the requirements of the RFP.

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2. The proposal is conditional.
3. The proposal is incomplete or contains irregularities that make the proposal indefinite or ambiguous.
4. The proposal is not signed by an authorized representative of the party.
5. The proposal contains false or misleading statements or references.
6. The Offeror is determined to be non-responsible as specified in Section 3-401 of the Personal Services Contract Review Board Regulations.
7. The proposal ultimately fails to meet the announced requirements of the State in some material aspect.
8. The proposal price is clearly unreasonable.
9. The proposal is not responsive, i.e., does not conform in all material respects to the RFP.
10. The supply or service item offered in the proposal is unacceptable by reason of its failure to meet the requirements of the specifications or permissible alternates or other acceptability criteria set forth in the RFP.
11. The Offeror does not comply with the Procedures for Delivery of Proposal as set forth in the RFP.
12. The Offeror currently owes the State money.

### **3.3.7 Alternate Proposals**

Each Offeror, its subsidiaries, affiliates or related entities shall be limited to one Technical Proposal and one Business Proposal which is responsive to the requirements of this RFP. Failure to submit a responsive proposal will result in the rejection of the Offeror's proposal. Submission of more than one proposal by an Offeror may, at the discretion of DOM, result in the summary rejection of all proposals submitted. An Offeror's proposal shall not include variable or multiple pricing options.

### **3.3.8 Proposal Amendments and Withdrawal**

Prior to the proposal due date, a submitted proposal may be withdrawn by submitting a written request for its withdrawal to DOM, signed by the Offeror.

An Offeror may submit an amended proposal before the due date for receipt of proposals. Such amended proposal must be a complete replacement for a previously submitted proposal and must be clearly identified as such in the Transmittal Letter. DOM will not merge, collate, or assemble proposal materials.

Unless requested by DOM, no other amendments, revisions, or alterations to proposals will be accepted after the proposal due date.

Any submitted proposal shall remain a valid proposal for 180 days from the proposal due date.

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### **3.3.9 Disposition of Proposals**

The proposal submitted by the successful Offeror shall be incorporated into and become part of the resulting contract. All proposals received by DOM shall upon receipt become and remain the property of DOM. DOM will have the right to use all concepts contained in any proposal and this right will not affect the solicitation or rejection of the proposal.

### **3.3.10 Responsible Contractor**

DOM shall contract only with a responsible contractor who possesses the ability to perform successfully under the terms and conditions of the proposed procurement and implementation. In letting the contract, consideration shall be given to such matters as Contractor's integrity, performance history, financial and technical resources, and accessibility to other necessary resources.

### **3.3.11 Best and Final Offers**

The Executive Director of DOM may make a written determination that it is in the State's best interest to conduct additional discussions or change the State's requirements and require submission of best and final offers. The Procurement Officer shall establish a date and time for the submission of best and final offers. Otherwise, no discussion of or changes in the bids shall be allowed prior to award. Offerors shall also be informed that if they do not submit a notice of withdrawal or another best and final offer, their immediate previous offer will be construed as their best and final offer.

## **3.4 NOTICE OF INTENT TO AWARD**

Award shall be made in writing to the responsible Offeror whose proposal is determined to be the most advantageous to the State taking into consideration price and evaluation factors set forth in the RFP. The notice of intended contract award shall be sent by e-mail with reply confirmation to the winning Offeror. Unsuccessful Offerors will be notified in the same manner after the award has been accepted or declined.

Consistent with existing state law, no Offeror shall infer or be construed to have any rights or interest to a contract with DOM until final approval is received from all necessary entities and until both the Offeror and DOM have executed a valid contract.

## **3.5 PROTEST POLICY AND PROCEDURES**

### **3.5.1 Form of the Protest**

Offerors who submit technical and business proposals in response to this RFP may protest the award of the contract resulting from this RFP. Protests must be made in writing and must be received no later than six (6) working days from the notice of non-award. Protests should be addressed to DOM's Executive Director and must contain specific grounds for the protest. Supporting documentation may be included with the protest.

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A protest must state all grounds upon which the protesting party asserts that the solicitation or award was improper. Issues not raised by the protesting party in the protest are deemed waived.

Only the following are acceptable grounds for protest:

- Failure to follow any of the following: 1) DOM procedures established in the RFP, 2) DOM rules of procurement, or 3) PSCRB Rules and Regulations;
- Errors in computing scores which contributed to the selection of an Offeror other than the lowest and best bidder; or,
- Bias, discrimination, or conflict of interest on the part of an evaluator.

Disallowed grounds include:

- Evaluators' qualifications to serve on the Evaluation Committee;
- The professional judgment of the Evaluation Committee; and,
- DOM's assessment of its own needs regarding the solicitation.

A protest that is incomplete or not submitted within the prescribed time limits will be summarily dismissed.

### **3.5.2 Protest Bond**

Protests must be accompanied by a \$50,000 bond. The protest bond must be maintained through final resolution, whether at the agency level or through a court of appropriate jurisdiction.

### **3.5.3 DOM's Responsibilities Regarding Protests**

The Notice of Non-Award shall be accompanied by redacted copies of the evaluation score sheets.

The Procurement Officer shall provide a copy of the protest documents to the successful Offeror within three (3) days of receipt of the protest. The successful Offeror shall have the right to provide documentation supporting the decision to award.

The Executive Director shall review all documentation concerning the procurement and may request additional documentation. He shall then determine whether or not the award of the contract shall be delayed or cancelled; or, if the protest is clearly without merit or that award of the contract without delay is necessary to protect the interests of the State. The Executive Director will provide written notice of the decision to the protesting Offeror. This written notice will be the final agency decision.

## **4.0 TERMS AND CONDITIONS**

### **4.1 GENERAL**

The contract between the State of Mississippi and the Contractor shall consist of the following items in order of priority 1) the contract and any amendments thereto; 2) this request for proposals (RFP) and any amendments thereto; 3) the Official Questions and Answers; 4) the Contractor's Proposal submitted in response to the RFP by reference and as an integral part of this contract. In the event that an issue is addressed in one document that is not addressed in another document, no conflict in language shall be deemed to occur.

However, DOM reserves the right to clarify any contractual relationship in writing, and such written clarification shall govern in case of conflict or ambiguity with the applicable requirements stated in the RFP or the Contractor's proposal. In all other matters not affected by the written clarification, if any, the RFP and its amendments shall govern.

No modification or change of any provision in the contract shall be made, or construed to have been made, unless such modification or change is mutually agreed upon in writing by the Contractor and DOM. The agreed upon modification or change will be incorporated as a written contract amendment and processed through DOM for approval prior to the effective date of such modification or change. In some instances, the contract amendment must be approved by CMS before the change becomes effective.

The only representatives authorized to modify this contract on behalf of DOM and the Contractor are shown below:

Contractor: Person(s) designated by the Contractor

Division of Medicaid: Executive Director

### **4.2 PERFORMANCE STANDARDS, ACTUAL DAMAGES, LIQUIDATED DAMAGES, AND RETAINAGE**

DOM reserves the right to assess actual or liquidated damages, upon the Contractor's failure to provide timely services required pursuant to this contract. Actual or liquidated damages for failure to meet specific performance standards as set forth in the scope of work may be assessed as specifically set forth in each performance standard. The Contractor shall be given fifteen (15) days' notice to respond before DOM makes the assessment. The assessments will be offset against the subsequent monthly payments to the Contractor. Assessment of any actual or liquidated damages does not waive any other remedies available to DOM pursuant to this contract or state or federal law. If liquidated damages are known to be insufficient then DOM has the right to pursue actual damages.

If the Contractor's failure to perform satisfactorily exposes DOM to the likelihood of contracting with another person or entity to perform services required of the Contractor under this contract, upon notice



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setting forth the services and retainage, DOM may withhold from the Contractor payments in an amount commensurate with the costs anticipated to be incurred. If costs are incurred, DOM shall account to the Contractor and return any excess to the Contractor. If the retainage is not sufficient, the Contractor shall immediately reimburse DOM the difference or DOM may offset from any payments due the Contractor. The Contractor will cooperate fully with the retained Contractor and provide any assistance it needs to implement the terms of its agreement for services for retainage.

### **4.3 TERM OF CONTRACT**

DOM will award a Contract based on proposals. The Contract period begins April 8, 2013, and shall terminate three months after the successful Go-Live of the MEHRs system upgrade. DOM may have, under the same terms and conditions as the existing contract, an option for one one-year extension.

#### **4.3.1 Stop Work Order**

1. Order to Stop Work - DOM Contract Administrator may, by written order to the Contractor at any time and without notice to any surety, require the Contractor to stop all or any part of the work called for by this contract. This order shall be for a specified period not exceeding ninety (90) days after the order is delivered to the Contractor, unless the parties agree to an extension. Any such order shall be identified specifically as a stop work order issued pursuant to this clause. Upon receipt of such an order, the Contractor shall forthwith comply with its terms and take all reasonable steps to minimize the occurrence of costs allowable to the work covered by the order during the period of work stoppage. Before the stop work order expires, or within an extension to which the parties shall have agreed, the Contract Administrator shall either
  - a. Cancel the stop work order; or
  - b. Terminate the work covered by such order as provided in the “Termination for Default Clause” or the “Termination for Convenience Clause” of this contract.
2. Cancellation or Expiration of the Order - If a stop work order issued under this clause is canceled at any time during the period specified in the order, or if the period of the order or any extension thereof expires, the Contractor shall have the right to resume work. An appropriate adjustment shall be made in the delivery schedule or Contractor price, or both, and the contract shall be modified in writing accordingly, only if
  - a. The stop work order or extension results in an increase in the time required for, or in the Contractor’s cost properly allocable to, the performance of any part of this contract; and
  - b. The Contractor asserts a claim for such an adjustment within thirty (30) days after the end of the stop work order or extension.
3. Termination of Work - If a stop work order or extension is not canceled and the work covered by such stop work order or extension is terminated for default or convenience, adjustment to the contract price

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will be negotiated between DOM and the Contractor.

### **4.3.2 Termination of Contract**

The Contract resulting from this RFP may be terminated by DOM as follows:

1. For default by the Contractor
2. For convenience
3. For the Contractor's bankruptcy, insolvency, receivership, liquidation
4. For non-availability of funds

At DOM's option, termination for any reason listed herein may also be considered termination for convenience.

#### **4.3.2.1 Termination for Default by the Contractor**

DOM may immediately terminate this contract in whole or in part whenever DOM determines that the Contractor has failed to satisfactorily perform its contractual duties and responsibilities and is unable to resolve such failure within a period of time specified by DOM, after considering the gravity and nature of the default. Such termination shall be referred to herein as "Termination for Default."

Upon determination by DOM of any such failure to satisfactorily perform its contractual duties and responsibilities, DOM may notify the Contractor of the failure and establish a reasonable time period in which to resolve such failure. If the Contractor does not resolve the failure within the specified time period, DOM will notify the Contractor that the contract in full or in part has been terminated for default. Such notices shall be in writing and delivered to the Contractor by certified mail, return receipt requested, or in person.

If, after Notice of Termination for default, it is determined that the Contractor was not in default or that the Contractor's failure to perform or make progress in performance was due to causes beyond the control and without error or negligence on the part of the Contractor or any subcontractor, the Notice of Termination shall be deemed to have been issued as a termination for the convenience of DOM, and the rights and obligations of the parties shall be governed accordingly.

In the event of Termination for Default, in full or in part as provided by this clause, DOM may procure, upon such terms and in such manner as DOM may deem appropriate, supplies or services similar to those terminated, and the Contractor shall be liable to DOM for any excess costs for such similar supplies or services for the remainder of the contract period. In addition, the Contractor shall be liable to DOM for administrative costs incurred by DOM in procuring such similar supplies or services.

In the event of a termination for default, the Contractor shall be paid for those deliverables which the Contractor has delivered to DOM. Payments for completed deliverables delivered to and accepted by DOM shall be at the contract price.

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The rights and remedies of DOM provided in this clause shall not be exclusive and are in addition to any other rights and remedies provided by law or under the contract.

**4.3.2.2 Termination for Convenience**

DOM may terminate performance of work under the contract in whole or in part whenever for any reason DOM shall determine that such termination is in the best interest of DOM.

In the event that DOM elects to terminate the contract pursuant to this provision, it shall notify the Contractor by certified mail, return receipt requested, or delivered in person. Termination shall be effective as of the close of business on the date specified in the notice, which shall be at least thirty (30) days from the date of receipt of the notice by the Contractor.

Upon receipt of Notice of Termination for convenience, the Contractor shall be paid the following:

- The contract price(s) for completed deliverables delivered to and accepted by DOM;
- A price commensurate with the actual cost of performance for partially completed deliverables.

**4.3.2.3 Termination for the Contractor Bankruptcy**

In the event that the Contractor shall cease conducting business in the normal course, become insolvent, make a general assignment for the benefit of creditors, suffer or permit the appointment of a receiver for its business or its assets, or shall avail itself of, or become subject to, any proceeding under the Federal Bankruptcy Act or any other statute of any state relating to insolvency or the protection of the rights of creditors, DOM may, at its option, terminate this contract in whole or in part.

In the event DOM elects to terminate the contract under this provision, it shall do so by sending Notice of Termination to the Contractor by certified mail, return receipt requested, or delivered in person. The date of termination shall be the close of business on the date specified in such notice to the Contractor. In the event of the filing of a petition in bankruptcy by or against a principal subcontractor, the Contractor shall immediately so advise DOM.

The Contractor shall ensure and shall satisfactorily demonstrate to DOM that all tasks related to the subcontract are performed in accordance with the terms of this contract

**4.3.2.4 Availability of Funds**

It is expressly understood and agreed that the obligation of DOM to proceed under this agreement is conditioned upon the appropriation of funds by the Mississippi State Legislature and the receipt of state and/or federal funds. If the funds anticipated for the continuing fulfillment of the agreement are, at any time, not forthcoming or insufficient, either through the failure of the federal government to provide or the State of Mississippi to appropriate funds, or the discontinuance, or material alteration of the program under which the funds were provided or if funds are not otherwise available to the State, the State shall

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have the right upon ten (10) working days written notice to the Contractor, to terminate this agreement without damage, penalty, cost, or expense to the State of any kind whatsoever. The effective date of termination shall be as specified in the notice of termination.

### **4.3.3 Procedure on Termination**

#### **4.3.3.1 Contractor Responsibilities**

Upon delivery by certified mail, return receipt requested, or in person to the Contractor a Notice of Termination specifying the nature of the termination, the extent to which performance of work under the contract is terminated, and the date upon which such termination becomes effective, the Contractor shall:

- Stop work under the contract on the date and to the extent specified in the Notice of Termination;
- Place no further orders or subcontracts for materials, services or facilities, except as may be necessary for completion of such portion of the work in progress under the contract until the effective date of termination;
- Terminate all orders and subcontracts to the extent that they relate to the performance of work terminated by the Notice of Termination;
- Deliver to DOM within the time frame as specified by DOM in the Notice of Termination, copies of all data and documentation in the appropriate media and make available all records required to assure continued delivery of services to beneficiaries and providers at no cost to DOM;
- Complete the performance of the work not terminated by the Notice of Termination;
- Take such action as may be necessary, or as DOM may direct, for the protection and preservation of the property related to the contract which is in the possession of the Contractor and in which DOM has or may acquire an interest;
- Fully train DOM staff or other individuals at the direction of DOM in the operation and maintenance of the process;
- Promptly transfer all information necessary for the reimbursement of any outstanding claims; and
- Complete each portion of the Turnover Phase after receipt of the Notice of Termination. The Contractor shall proceed immediately with the performance of the above obligations notwithstanding any allowable delay in determining or adjusting the amount of any item of reimbursable price under this clause.
- The Contractor has an absolute duty to cooperate and help with the orderly transition of the duties to DOM or its designated contractor following termination of the contract for any reason.

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#### **4.3.3.2 DOM Responsibilities**

DOM will make payment to the Contractor on termination and at contract price for completed deliverables delivered to and accepted by DOM. The Contractor shall be reimbursed for partially completed deliverables at a price commensurate with actual cost of performance.

In the event of the failure of the Contractor and DOM to agree in whole or in part as to the amounts to be paid to the Contractor in connection with any termination described in this RFP, DOM shall determine on the basis of information available the amount, if any, due to the Contractor by reason of termination and shall pay to the Contractor the amount so determined.

The Contractor shall have the right of appeal, as stated under Disputes (Paragraph 4.9.6) from any such determination made by DOM.

#### **4.3.4 Assignment of the Contract**

The Contractor shall not sell, transfer, assign, or otherwise dispose of the contract or any portion thereof or of any right, title, or interest therein without written consent of DOM. Any such purported assignment or transfer shall be void. If approved, any assignee shall be subject to all terms and conditions of this contract and other supplemental contractual documents. No approval by DOM of any assignment may be deemed to obligate DOM beyond the provisions of this contract. This provision includes reassignment of the contract due to change in ownership of the Contractor. DOM shall at all times be entitled to assign or transfer its rights, duties, and/or obligations under this contract to another governmental agency in the State of Mississippi upon giving prior written notice to the Contractor.

#### **4.3.5 Excusable Delays**

The Contractor and DOM shall be excused from performance under this contract for any period that they are prevented from performing any services under this Contract as a result of an act of God, war, civil disturbance, epidemic, court order, government act or omission, or other cause beyond their reasonable control.

#### **4.3.6 Applicable Law**

The contract shall be governed by and construed in accordance with the laws of the State of Mississippi, excluding its conflict of law provisions, and any litigation with respect thereto shall be brought in the courts of the State of Mississippi. The Contractor shall comply with applicable federal, state and local laws and regulations.

### **4.4 NOTICES**

Whenever, under this RFP, one party is required to give notice to the other, except for purposes of Notice of Termination under Section 4.3, such notice shall be deemed given upon delivery, if delivered by hand, or upon the date of receipt or refusal, if sent by registered or certified mail, return receipt requested or by

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other carriers that require signature upon receipt. Notice may be delivered by facsimile transmission, with original to follow by certified mail, return receipt requested, or by other carriers that require signature upon receipt, and shall be deemed given upon transmission and facsimile confirmation that it has been received. Notices shall be addressed as follows:

In case of notice to the Contractor:

Project Manager  
Street Address  
City, State Zip Code

In case of notice to DOM:

Executive Director  
Division of Medicaid  
550 High St., Suite 1000  
Jackson, Mississippi 39201

Copy to Contract Administrator, DOM

#### **4.5 COST OR PRICING DATA**

If DOM determines that any price, including profit or fee, negotiated in connection with this RFP was increased because the Contractor furnished incomplete or inaccurate cost or pricing data not current as certified in the Contractor's certification of current cost or pricing data, then such price or cost shall be reduced accordingly and this RFP shall be modified in writing and acknowledged by the Contractor to reflect such reduction.

#### **4.6 SUBCONTRACTING**

The Contractor is solely responsible for fulfillment of the Contract terms with DOM. DOM will make Contract payments only to the Contractor.

The Contractor shall not subcontract any portion of the services to be performed under this Contract without the prior written approval of DOM. The Contractor shall notify DOM not less than thirty (30) days in advance of its desire to subcontract and include a copy of the proposed subcontract with the proposed subcontractor.

Copies of any agreements to be executed between the Offeror and any subcontractors must be included in the Offeror's proposal.

Approval of any subcontract shall neither obligate DOM nor the State of Mississippi as a party to that subcontract nor create any right, claim, or interest for the subcontractor against the State of Mississippi or DOM, their agents, their employees, their representatives, or successors.

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Any subcontract shall be in writing and shall contain provisions such that it is consistent with the Contractor's obligations pursuant to this Contract.

The Contractor shall be solely responsible for the performance of any subcontractor under such subcontract approved by DOM.

The Contractor shall give DOM immediate written notice by certified mail, facsimile, or any other carrier that requires signature upon receipt of any action or suit filed and prompt notice of any claim made against the Contractor or subcontractor which in the opinion of the Contractor may result in litigation related in any way to the Contract with DOM.

## **4.7 PROPRIETARY RIGHTS**

### **4.7.1 Ownership of Documents**

Where activities supported by this contract produce original writing, sound recordings, pictorial reproductions, drawings, or other graphic representation and works of any similar nature, DOM shall have the right to use, duplicate, and disclose such materials in whole or in part, in any manner, for any purpose whatsoever and to have others do so. If the material is qualified for copyright, the Contractor may copyright such material, with approval of DOM, but DOM shall reserve a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, and use such materials, in whole or in part, and to authorize others to do so.

### **4.7.2 Ownership of Information and Data**

DOM, The Department of Health and Human Services (DHHS), The Centers for Medicare and Medicaid Services (CMS), the State of Mississippi, and/or their agents shall have unlimited rights to use, disclose, or duplicate, for any purpose whatsoever, all information and data developed, derived, documented, or furnished by the Contractor under any contract resulting from this RFP.

The Contractor agrees to grant in its own behalf and on behalf of its agents, employees, representatives, assignees, and subcontractors to DOM, DHHS, CMS and the State of Mississippi and to their officers, agents, and employees acting in their official capacities a royalty-free, non-exclusive, and irrevocable license throughout the world to publish, reproduce, translate, deliver, and dispose of all such information now covered by copyright of the proposed Contractor.

Excluded from the foregoing provisions in this Section 4.7.2, however, are any pre-existing, proprietary tools owned, developed, or otherwise obtained by Contractor independent of this Contract. Contractor is and shall remain the owner of all rights, title and interest in and to the Proprietary Tools, including all copyright, patent, trademark, trade secret and all other proprietary rights thereto arising under federal and state law, and no license or other right to the Proprietary Tools is granted or otherwise implied. Any right that DOM may have with respect to the Proprietary Tools shall arise only pursuant to a separate written agreement between the parties.

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All data, electronic or otherwise, collected by Seller and all documents, notes, programs, databases (and all applications thereof), files, reports, studies, and/or other material collected and prepared by Seller in connection with this Agreement, whether completed or in progress, will be the property of DOM upon completion of this Agreement or upon termination of this Agreement. DOM hereby reserves all rights to the databases and all applications thereof and to any and all information and/or materials prepared in connection with this Agreement. Offeror is prohibited from use of the above described information and/or materials without the express written approval of DOM.

#### **4.7.3 Public Information**

Offerors must provide an electronic, single document version of proposals redacting those provisions of the proposal which contain trade secrets or other proprietary data which they believe may remain confidential in accordance with Sections 25-61-9 and 79-23-1, et seq. of the Mississippi Code Annotated of 1972, as amended.

#### **4.7.4 Right of Inspection**

DOM, the Mississippi Department of Audit, The Department of Health and Human Services (DHHS), The Centers for Medicare and Medicaid Services (CMS), the Office of Inspector General (OIG), the General Accounting Office (GAO), or any other auditing agency prior-approved by DOM, or their authorized representative shall, at all reasonable times, have the right to enter onto the Contractor's premises, or such other places where duties under this contract are being performed, to inspect, monitor, or otherwise evaluate (including periodic systems testing) the work being performed. The Contractor must provide access to all facilities and assistance for DOM and Mississippi Audit Department representatives. All inspections and evaluations shall be performed in such a manner as will not unduly delay work. Refusal by the Contractor to allow access to all documents, papers, letters or other materials, shall constitute a breach of contract. All audits performed by persons other than DOM staff will be coordinated through DOM and its staff.

#### **4.7.5 Licenses, Patents and Royalties**

DOM does not tolerate the possession or use of unlicensed copies of proprietary software. The Contractor shall be responsible for any penalties or fines imposed as a result of unlicensed or otherwise defectively titled software.

The Contractor, without exception, shall indemnify, save, and hold harmless DOM and its employees from liability of any nature or kind, including cost and expenses for or on account of any copyrighted, patented, or non-patented invention, process, or article manufactured by the Contractor. DOM will provide prompt written notification of a claim of copyright or patent infringement.

Further, if such a claim is made or is pending, the Contractor may, at its option and expense, procure for DOM the right to continue use of, replace or modify the article to render it non-infringing. If none of the



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alternatives are reasonably available, the Contractor agrees to take back the article and refund the total amount DOM has paid the Contractor under this contract for use of the article.

If the Contractor uses any design, device, or materials covered by letters, patent or copyright, it is mutually agreed and understood without exception that the proposed prices shall include all royalties or costs arising from the use of such design, device, or materials in any way involved in the work.

#### **4.7.6 Records Retention Requirements**

The Contractor shall maintain detailed records evidencing all expenses incurred pursuant to the Contract, the provision of services under the Contract, and complaints, for the purpose of audit and evaluation by DOM and other federal or State personnel. All records, including training records, pertaining to the Contract must be readily retrievable within three (3) workdays for review at the request of DOM and its authorized representatives. All records shall be maintained and available for review by authorized federal and State personnel during the entire term of the Contract and for a period of five (5) years thereafter, unless an audit is expected or is in progress or there is pending litigation. When an audit or litigation is expected or when an audit is in progress or audit findings are unresolved, records shall be kept for a period of five (5) years or until all issues are finally resolved, whichever is later.

#### **4.8 REPRESENTATION REGARDING CONTINGENT FEES**

The Contractor represents by submission of its proposal that it has not retained a person or agency to solicit or secure a State contract upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee except as disclosed in the contractor's bid or proposal.

#### **4.9 INTERPRETATIONS/CHANGES/DISPUTES**

The RFP in its entirety is a part of the Contract. In the event of a dispute or conflict among any of the components of the contract, the Contract shall govern. All the documents shall be read and construed, as far as possible, to be one harmonious whole; however, in the event of a conflict or dispute, the list at Sec. 4.1 is the list of priority.

DOM reserves the right to clarify any contractual relationship in writing and such clarification will govern in case of conflict with the requirements of the RFP. Any ambiguity in the RFP shall be construed in favor of DOM.

The contract represents the entire agreement between the Contractor and DOM and it supersedes all prior negotiations, representations, or agreements, either written or oral between the parties hereto relating to the subject matter hereof.

##### **4.9.1 Conformance with Federal and State Regulations**

The Contractor shall be required to conform to all federal and state laws, regulations, and policies as they exist or as amended.

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In the event that the Contractor requests that the Executive Director of DOM or his/her designee issue policy determinations or operating guidelines required for proper performance of the contract, DOM shall do so in a timely manner. The Contractor shall be entitled to rely upon and act in accordance with such policy determinations and operating guidelines unless the Contractor acts negligently, maliciously, fraudulently, or in bad faith.

#### **4.9.2 Waiver**

No covenant, condition, duty, obligation, or undertaking contained in or made a part of this contract will be waived except by the written agreement of the parties, and forbearance or indulgence in any other form or manner by either party in any regard whatsoever shall not constitute a waiver of the covenant, condition, duty, obligation, or undertaking to be kept, performed, or discharged by the party to which the same may apply; and until complete performance or satisfaction of all such covenants, conditions, duties, obligations, and undertakings, the other party shall have the right to invoke any remedy available under law or equity, notwithstanding any such forbearance or indulgence.

#### **4.9.3 Severability**

If any provision of the contract (including items incorporated by reference) is declared or found to be illegal, unenforceable, or void, then both DOM and the Contractor shall be relieved of all obligations arising under such provision; if the remainder of the contract is capable of performance, it shall not be affected by such declaration or funding and shall be fully performed.

#### **4.9.4 Headings**

The headings used throughout the contract are for convenience only and shall not be resorted to for interpretation of the contract.

#### **4.9.5 Change Orders and/or Amendments**

The Executive Director of DOM or designated representative may, at any time, by written order delivered to the Contractor at least thirty (30) days prior to the commencement date of such change, make administrative changes within the general scope of the contract. If any such change causes an increase or decrease in the cost of the performance of any part of the work under the contract an adjustment commensurate with the costs of performance under this contract shall be made in the contract price or delivery schedule or both. Any claim by the Contractor for equitable adjustment under this clause must be asserted in writing to DOM within thirty (30) days from the date of receipt by the Contractor of the notification of change. Failure to agree to any adjustment shall be a dispute within the meaning of the Dispute Clause of this Contract. Nothing in this clause, however, shall in any manner excuse the Contractor from proceeding diligently with the contract as changed.

If the parties are unable to reach an agreement within thirty (30) days of DOM receipt of the Contractor's cost estimate, the Executive Director of DOM shall make a determination of the revised price, and the

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Contractor shall proceed with the work according to a schedule approved by DOM subject to the Contractor's right to appeal the Executive Director's determination of the price pursuant to the Disputes Section.

The rate of payment for changes or amendments completed per contract year shall be at the rates specified by the Contractor's proposal.

At any time during the term of this contract, DOM may increase the quantity of goods or services purchased under this contract by sending the Contractor a written amendment or modification to that effect which references this contract and is signed by the Executive Director of DOM. The purchase price shall be the lower of the unit cost identified in the Contractor's proposal or the Contractor's then-current, published price. The foregoing shall not apply to services provided to DOM at no charge. The delivery schedule for any items added by exercise of this option shall be set by mutual agreement.

#### **4.9.6 Disputes**

Any dispute concerning the contract which is not disposed of by agreement shall be decided by the Executive Director of DOM who shall reduce such decision to writing and mail or otherwise furnish a copy thereof to the Contractor. The decision of the Executive Director shall be final and conclusive unless within thirty (30) days from the date of receipt of such copy, the Contractor mails or otherwise furnishes to the Attorney General a written request to render an interpretation addressed to the Office of the Attorney General, 550 High St., Suite 1200, Jackson, Mississippi 39205. The interpretation of the Attorney General or his duly authorized representative shall be final and conclusive. The Contractor and DOM shall be afforded an opportunity to be heard and to offer evidence in support of their interpretations. Nothing in this paragraph shall be construed to relieve the Contractor of full and diligent performance of the contract.

#### **4.9.7 Cost of Litigation**

In the event that DOM deems it necessary to take legal action to enforce any provision of the contract, the Contractor shall bear the cost of such litigation, as assessed by the court, in which DOM prevails. Neither the State of Mississippi nor DOM shall bear any of the Contractor's cost of litigation for any legal actions initiated by the Contractor against DOM regarding the provisions of the contract. Legal action shall include administrative proceedings.

#### **4.9.8 Attorney Fees**

The Contractor agrees to pay reasonable attorney fees incurred by the State and DOM in enforcing this agreement or otherwise reasonably related thereto.

#### **4.10 INDEMNIFICATION**

The Contractor agrees to indemnify, defend, save, and hold harmless DOM, the State of Mississippi, their officers, agents, employees, representatives, assignees, and contractors from any and all claims and losses

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accruing or resulting to any and all the Contractor employees, agents, subcontractors, laborers, and any other person, association, partnership, entity, or corporation furnishing or supplying work, services, materials, or supplies in connection with performance of this contract, and from any and all claims and losses accruing or resulting to any such person, association, partnership, entity, or corporation who may be injured, damaged, or suffer any loss by the Contractor in the performance of the contract.

The Contractor agrees to indemnify, defend, save, and hold harmless DOM, the State of Mississippi, their officers, agents, employees, representatives, assignees, and contractors against any and all liability, loss, damage, costs or expenses which DOM may sustain, incur or be required to pay: 1.) by reason of any person suffering personal injury, death or property loss or damage of any kind either while participating with or receiving services from the Contractor under this contract, or while on premises owned, leased, or operated by the Contractor or while being transported to or from said premises in any vehicle owned, operated, leased, chartered, or otherwise contracted for or in the control of the Contractor or any officer, agent, or employee thereof; or 2.) by reason of the Contractor or its employee, agent, or person within its scope of authority of this contract causing injury to, or damage to the person or property of a person including but not limited to DOM or the Contractor, their employees or agents, during any time when the Contractor or any officer, agent, employee thereof has undertaken or is furnishing the services called for under this contract.

The Contractor agrees to indemnify, defend, save, and hold harmless DOM, the State of Mississippi, their officers, agents, employees, representatives, assignees, and contractors against any and all liability, loss, damages, costs or expenses which DOM or the State may incur, sustain or be required to pay by reason of the Contractor, its employees, agents or assigns: 1.) failing to honor copyright, patent or licensing rights to software, programs or technology of any kind in providing services to DOM, or 2.) breaching in any manner the confidentiality required pursuant to federal and state law and regulations.

The Contractor agrees to indemnify, defend, save, and hold harmless DOM, the State of Mississippi, their officers, agents, employees, representatives, assignees, and contractors from all claims, demands, liabilities, and suits of any nature whatsoever arising out of the contract because of any breach of the contract by the Contractor, its agents or employees, including but not limited to any occurrence of omission or commission or negligence of the Contractor, its agents or employees.

If in the reasonable judgment of DOM a default by the Contractor is not so substantial as to require termination and reasonable efforts to induce the Contractor to cure the default are unsuccessful and the default is capable of being cured by DOM or by another resource without unduly interfering with the continued performance of the Contractor, DOM may provide or procure such services as are reasonably necessary to correct the default. In such event, the Contractor shall reimburse DOM for the cost of those services. DOM may deduct the cost of those services from the Contractor's monthly administrative invoices. The Contractor shall cooperate with DOM or those procured resources in allowing access to facilities, equipment, data or any other Contractor resources to which access is required to correct the default. The Contractor shall remain liable for ensuring that all operational performance standards remain satisfied.

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#### **4.10.1 No Limitation of Liability**

Nothing in this contract shall be interpreted as excluding or limiting any liability of the Contractor for harm caused by the intentional or reckless conduct of the Contractor, or for damages incurred in the negligent performance of duties by the Contractor, or for the delivery by the Contractor of products that are defective, or for breach of contract or any other duty by the Contractor. Nothing in the contract shall be interpreted as waiving the liability of the Contractor for consequential, special, indirect, incidental, punitive or exemplary loss, damage, or expense related to the Contractor's conduct or performance under this contract.

#### **4.11 STATUS OF THE CONTRACTOR**

##### **4.11.1 Independent Contractor**

It is expressly agreed that the Contractor is an independent Contractor performing professional services for DOM and is not an officer or employee of the State of Mississippi or DOM. It is further expressly agreed that the contract shall not be construed as a partnership or joint venture between the Contractor and DOM.

The Contractor shall be solely responsible for all applicable taxes, insurance, licensing and other costs of doing business. Should the Contractor default on these or other responsibilities jeopardizing the Contractor's ability to perform services effectively, DOM, in its sole discretion, may terminate this contract.

The Contractor shall not purport to bind DOM, its officers or employees nor the State of Mississippi to any obligation not expressly authorized herein unless DOM has expressly given the Contractor the authority to do so in writing.

The Contractor shall give DOM immediate notice in writing of any action or suit filed, or of any claim made by any party which might reasonably be expected to result in litigation related in any manner to this contract or which may impact the Contractor's ability to perform.

No other agreements of any kind may be made by the Contractor with any other party for furnishing any information or data accumulated by the Contractor under this contract or used in the operation of this program without the written approval of DOM. Specifically, DOM reserves the right to review any data released from reports, histories, or data files created pursuant to this Contract.

In no way shall the Contractor represent itself directly or by inference as a representative of the State of Mississippi or the Division of Medicaid except within the confines of its role as an independent contractor for the Division of Medicaid. DOM's approval must be received in all instances in which the Contractor distributes publications, presents seminars, presents workshops, or performs any other outreach.

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The Contractor shall not use DOM's name or refer to the contract and the services provided therein directly or indirectly in any advertisement, news release, professional trade or business presentation without prior written approval from DOM.

#### **4.11.2 Employment of DOM Employees**

The Contractor shall not knowingly engage on a full-time, part-time, or other basis during the period of the contract, any professional or technical personnel who are or have been at any time during the period of the contract in the employ of DOM, without the written consent of DOM. Further, the Contractor shall not knowingly engage in this project, on a full-time, part-time, or other basis during the period of the contract, any former employee of DOM who has not been separated from DOM for at least one year, without the written consent of DOM.

The Contractor shall give priority consideration to hiring interested and qualified adversely affected State employees at such times as requested by DOM to the extent permitted by this contract or state law.

#### **4.11.3 Conflict of Interest**

No official or employee of DOM and no other public official of the State of Mississippi or the Federal Government who exercises any functions or responsibilities in the review or approval of the undertaking or carrying out of the project shall, prior to the completion of the project, voluntarily acquire any personal interest, direct or indirect, in the contract or proposed contract. A violation of this provision shall constitute grounds for termination of this contract. In addition, such violation will be reported to the State Ethics Commission, Attorney General, and appropriate federal law enforcement officers for review.

The Contractor covenants that it presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of its services hereunder. The Contractor further covenants that in the performance of the contract no person having any such known interests shall be employed including subsidiaries or entities that could be misconstrued as having a joint relationship, and to employment by the Contractor of immediate family members of Medicaid providers.

#### **4.11.4 Personnel Practices**

All employees of the Contractor involved in the Medicaid function will be paid as any other employee of the Contractor who works in another area of their organization in a similar position. The Contractor shall develop any and all methods to encourage longevity in Contractor's staff assigned to this contract.

Employees of the Contractor shall receive all benefits afforded to other similarly situated employees of the Contractor.

The Contractor must agree to sign the Drug Free Workplace Certificate (Exhibit 1).

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#### **4.11.5 No Property Rights**

No property rights inure to the Contractor except for compensation for work that has already been performed.

#### **4.12 EMPLOYMENT PRACTICES**

The Contractor shall not discriminate against any employee or applicant for employment because of race, color, religion, gender, national origin, age, marital status, political affiliations, disability, genetic information, or any other consideration made unlawful by federal, State or local laws. The Contractor must act affirmatively to ensure that employees, as well as applicants for employment, are treated without discrimination because of their race, color, religion, gender, national origin, age, marital status, political affiliation, or disability.

Such action shall include, but is not limited to the following: employment, promotion, demotion or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment notices setting forth the provisions of this clause.

The Contractor shall, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, age, marital status, political affiliation, or disability, except where it relates to a bona fide occupational qualification or requirement.

The Contractor shall comply with the non-discrimination clause contained in Federal Executive Order 11246, as amended by Federal Executive Order 11375, relative to Equal Employment Opportunity for all persons without regard to race, color, religion, sex, or national origin, and the implementing rules and regulations prescribed by the Secretary of Labor and with Title 41, Code of Federal Regulations, Chapter 60. The Contractor shall comply with related state laws and regulations, if any.

The Contractor shall comply with the Civil Rights Act of 1964, and any amendments thereto, and the rules and regulations thereunder, and Section 504 of Title V of the Rehabilitation Act of 1973, as amended, and the Mississippi Human Rights Act of 1977.

If DOM finds that the Contractor is not in compliance with any of these requirements at any time during the term of this contract, DOM reserves the right to terminate this contract or take such other steps as it deems appropriate, in its sole discretion, considering the interests and welfare of the State.

#### **4.13 RISK MANAGEMENT**

The Contractor may insure any portion of the risk under the provision of the contract based upon the Contractor's ability (size and financial reserves included) to survive a series of adverse experiences, including withholding of payment by DOM, or imposition of penalties by DOM.

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On or before beginning performance under this Contract, the Contractor shall obtain from an insurance company, duly authorized to do business and doing business in Mississippi, insurance as follows:

**4.13.1 Workers' Compensation**

The Contractor shall take out and maintain, during the life of this contract, workers' compensation insurance for all employees employed under this Contract in the State of Mississippi. Such insurance shall fully comply with the Mississippi Workers' Compensation Law. In case any class of employees engaged in hazardous work under this contract at the site of the project is not protected under the Workers' Compensation Statute, the Contractor shall provide adequate insurance satisfactory for protection of his or her employees not otherwise protected.

**4.13.2 Liability**

The Contractor shall ensure that professional staff and other decision making staff shall be required to carry professional liability insurance in an amount commensurate with the professional responsibilities and liabilities under the terms of this RFP and other supplemental contractual documents.

The Contractor shall obtain, pay for and keep in force during the contract period general liability insurance against bodily injury or death in an amount commensurate with the responsibilities and liabilities under the terms of this RFP; and insurance against property damage and fire insurance including contents coverage for all records maintained pursuant to this contract in an amount commensurate with the responsibilities and liabilities under the terms of this RFP. The Contractor shall furnish to DOM, on an annual basis, certificates evidencing such insurance is in effect on the first working day following contract signing.

**4.14 CONFIDENTIALITY OF INFORMATION**

**4.14.1 Confidentiality of Beneficiary Information**

All information as to personal facts and circumstances concerning Medicaid beneficiaries obtained by the Contractor shall be treated as privileged communications, shall be held confidential, and shall not be divulged without the written consent of DOM and the written consent of the enrolled beneficiary, his attorney, or his responsible parent or guardian, except as may be required by DOM.

The use or disclosure of information concerning beneficiaries shall be limited to purposes directly connected with the administration of the contract.

All of the Contractor officers and employees performing any work for or on the contract shall be instructed in writing of this confidentiality requirement and required to sign such a document upon employment and annually thereafter.



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The Contractor shall immediately notify DOM of any unauthorized possession, use, knowledge or attempt thereof, of DOM's data files or other confidential information. The Contractor shall immediately furnish DOM full details of the attempted unauthorized possession, use or knowledge, and assist in investigating or preventing the recurrence thereof.

#### **4.14.2 Confidentiality of Proposals and Contract Terms**

After award of the contract, all Offeror's proposals, including the Technical Proposal, the Business Proposal, and any accompanying exhibits, attachments and appendices are subject to disclosure under the "Mississippi Public Records Act of 1983", codified as section 25-61-1 et seq., Mississippi Code Annotated and exceptions found in Section 79-23-1 of the Mississippi Code Annotated (1972, as amended), and the Federal Freedom of Information Act. Information specified by an Offeror as proprietary information shall be available for disclosure as provided by State statute, unless an Offeror seeks and is granted a protective order for the proprietary information.

In addition, a fully executed copy of the resultant contract, including the Technical and Business Proposals, shall be posted to the State of Mississippi's accountability website at <https://www.transparency.mississippi.gov>, in accordance with the Mississippi Accountability and Transparency Act of 2008, Section 27-104-151, et seq., of the Mississippi Code Annotated (1972, as amended), and the American Accountability and Transparency Act of 2009 (P.L. 111-5), where applicable. Unless exempted from disclosure due to a court-issued protective order, this contract is required to be posted to the Department of Finance and Administration's independent agency contract website for public access. Prior to posting the contract to the website, any information identified by the Contractor as trade secrets, or other proprietary information including confidential vendor information, or any other information which is required confidential by state or federal law or outside the applicable freedom of information statutes will be redacted.

In the event that either party to this agreement receives notice that a third party requests divulgence of confidential or otherwise protected information and/or has served upon it a subpoena or other validly issued administrative or judicial process ordering divulgence of confidential or otherwise protected information, that party shall promptly inform the other party and thereafter respond in conformity with such subpoena to the extent mandated by State law. This provision shall survive termination or completion of this agreement. The parties agree that this provision is subject to and superseded by Miss. Code Ann. Section 25-61-1, et seq. regarding Public Access to Public Records.

#### **4.15 THE CONTRACTOR COMPLIANCE ISSUES**

The Contractor agrees that all work performed as part of this contract will comply fully with administrative and other requirements established by federal and state laws, regulations and guidelines, and assumes responsibility for full compliance with all such laws, regulations and guidelines, and agrees to fully reimburse DOM for any loss of funds, resources, overpayments, duplicate payments or incorrect payments resulting from noncompliance by the Contractor, its staff, or agents, as revealed in any audit.

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#### **4.15.1 Federal, State, and Local Taxes**

Unless otherwise provided herein, the contract price shall include all applicable federal, state, and local taxes.

The Contractor shall pay all taxes lawfully imposed upon it with respect to this contract or any product delivered in accordance herewith. DOM makes no representation whatsoever as to exemption from liability to any tax imposed by any governmental entity on the Contractor.

#### **4.15.2 License Requirements**

The Contractor shall have, or obtain, any license/permits that are required prior to and during the performance of work under this contract.

#### **4.15.3 HIPAA Compliance**

The Contractor must ensure that all work supports the HIPAA Security Rules and sign a DOM HIPAA Business Associate Agreement, attached as Appendix B.

#### **4.15.4 Site Rules and Regulations**

The Contractor shall use its best efforts to ensure that its employees and agents, while on DOM premises, shall comply with site rules and regulations.

#### **4.15.5 Environmental Protection**

The Contractor shall be in compliance with all applicable standards, orders or requirements issued under Section 306 of the Clean Air Act (45 USC 1857 [h]), Section 508 of the Clean Water Act (33 USC 1368), Executive Order 11738, and Environmental Protection Agency regulation (40 CFR Part 15) which prohibit the use under non-exempt federal contracts, grants, or loans of facilities included on the EPA list of Violating Facilities. The Contractor shall report violations to the applicable grantor federal agency and the U. S. EPA Assistant Administrator for Enforcement.

#### **4.15.6 Lobbying**

The Contractor certifies, to the best of its knowledge and belief, that no federal appropriated funds have been paid or will be paid, by or on behalf of the Contractor to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, or an employee of a member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.

If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, member of Congress, an

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officer or employee of Congress or an employee of a member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the Contractor shall complete and submit “Disclosure Form to Report Lobbying,” in accordance with its instructions.

This certification is a material representation of fact upon which reliance is placed when entering into this contract. Submission of this certification is a prerequisite for making or entering into this contract imposed under Title 31, Section 1352, U. S. Code. Failure to file the required certification shall be subject to civil penalties for such failure.

The Contractor shall abide by lobbying laws of the State of Mississippi.

#### **4.15.7 Bribes, Gratuities and Kickbacks Prohibited**

The receipt or solicitation of bribes, gratuities and kickbacks is strictly prohibited.

No elected or appointed officer or other employee of the Federal Government or of the State of Mississippi shall benefit financially or materially from this contract. No individual employed by the State of Mississippi shall be permitted any share or part of this contract or any benefit that might arise there from.

The Contractor represents that it has not violated, is not violating, and promises that it will not violate the prohibitions against gratuities set forth in Section 6-204 (Gratuities) of the Mississippi Personal Service Contract Procurement Regulations.

#### **4.15.8 Small and Minority Businesses**

DOM encourages the employment of small business and minority business enterprises. Therefore, the Contractor shall report, separately, the involvement in this contract of small businesses and businesses owned by minorities and women. Such information shall be reported on an invoice annually on the contract anniversary and shall specify the actual dollars contracted to-date with such businesses, actual dollars expended to date with such businesses, and the total dollars planned to be contracted for with such businesses on this contract.

#### **4.15.9 Suspension and Debarment**

The Contractor certifies that it is not suspended or debarred under federal law and regulations or any other state’s laws and regulations.

#### **4.15.10 E-Payment**

The Contractor agrees to accept all payments in United States currency via the State of Mississippi’s electronic payment and remittance vehicle. DOM agrees to make payment in accordance with Mississippi law on “Timely Payments for Purchases by Public Bodies,” Mississippi Code Annotated §

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31-7-301, *et seq.*, which generally provides for payment of undisputed amounts by the agency within forty-five (45) days of receipt of invoice.

Payments by state agencies using the Statewide Automated Accounting System (SAAS) shall be made and remittance information provided electronically as directed by the State. These payments shall be deposited into the bank account of the Contractor's choice. The State may, at its sole discretion, require the Contractor to submit invoices and supporting documentation electronically at any time during the term of this Agreement. Contractor understands and agrees that the State is exempt from the payment of taxes. All payments shall be in United States currency.

#### **4.15.11 Compliance with the Mississippi Employment Protection Act**

The Contractor represents and warrants that it will ensure its compliance with the Mississippi Employment Protection Act Mississippi Code Annotated § 71-11-1 and 71-11-3, and will register and participate in the status verification system for all newly hired employees. The term "employee" as used herein means any person that is hired to perform work within the State of Mississippi. As used herein, "status verification system" means the Illegal Immigration Reform and Immigration Responsibility Act of 1996 that is operated by the United States Department of Homeland Security, also known as the E-Verify Program, or any other successor electronic verification system replacing the E-Verify Program. Contractor agrees to maintain records of such compliance and, upon request of the State, to provide a copy of each such verification to the State. Contractor further represents and warrants that any person assigned to perform services hereunder meets the employment eligibility requirements of all immigration laws of the State of Mississippi. Contractor understands and agrees that any breach of these warranties may subject Contractor to the following: (a) Termination of this Agreement and ineligibility for any state or public contract in Mississippi for up to three (3) years with notice of such cancellation/termination being made public, or (b) The loss of any license, permit, certification or other document granted to Contractor by an agency, department or governmental entity for the right to do business in Mississippi for up to one (1) year, or (c) Both.

In the event of such termination/cancellation, Contractor would also be liable for any additional costs incurred by the State due to contract cancellation or loss of license or permit.

The Contractor certifies that it is not suspended or debarred under federal law and regulations or any other state's laws and regulations.

#### **4.15.12 Compliance with Enterprise Security Policy**

Any Solution proposed in response to this RFP must be in compliance with the State of Mississippi's Enterprise Security Policy. The Enterprise Security Policy is based on industry-standard best practices, policy, and guidelines and covers the following topics: Web servers, email, virus prevention, firewalls, data encryption, remote access, passwords, servers, physical access, traffic restrictions, wireless, laptop and mobile devices, disposal of hardware/media, and application assessment/certification. Given that information security is an evolving technology practice, the State reserves the right to introduce new policy during the term of the contract resulting from this RFP and require the Contractor to comply with

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same in the event the industry introduces more secure, robust solutions or practices that facilitate a more secure posture for the State of Mississippi.

The Enterprise Security Policy is available to third parties on a need-to-know basis and requires the execution of a non-disclosure agreement prior to accessing the policy. The Contractor may request individual sections of the Enterprise Security Policy or request the entire document. Prior to the Contractor receiving the requested policy information, the Contractor must sign and submit the non-disclosure agreement found on the ITS Website, <http://www.its.ms.gov>, as follows: click on the “ITS Services” button on the left of the screen; select “Information Security”, scroll to the bottom of the page, and click on the link “Enterprise Security Policy” under “Policies and Plans.” The form can be found at the “Enterprise Security Policy” link under the “Third Party” heading. The complete Web address is:

[http://www.its.ms.gov.security/docs/confidentiality\\_agreement\\_for\\_its\\_esp\\_for\\_web.pdf](http://www.its.ms.gov.security/docs/confidentiality_agreement_for_its_esp_for_web.pdf)

The Contractor must provide contact information (name, email address, phone number) that can be used to coordinate the secure delivery of the requested information.

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## **5. TECHNICAL PROPOSAL**

### **5.1 INTRODUCTION**

All proposals must be typewritten on standard 8 ½ x 11 paper (larger paper is permissible for charts, spreadsheets, etc.) with tabs delineating each section. One copy of the proposal must be submitted on CD in a single searchable document in Microsoft Word or Adobe Acrobat (.PDF) format.

The Technical Proposal must include the following sections:

1. Transmittal Letter
2. Executive Summary
3. Corporate Background and Experience
4. Project Organization and Staffing
5. Methodology
6. Project Management and Control
7. Work Plan and Schedule

Items to be included under each of these headings are identified in the paragraphs below. Each section within the Technical Proposal should include all items listed in the paragraphs below. The evaluation of proposals will be done on a section-by-section basis. A format that easily follows the requirements and order of the RFP should be used.

Any proposal that does not adhere to these requirements may be deemed non-responsive and rejected on that basis.

### **5.2 TRANSMITTAL LETTER**

The Transmittal Letter shall be in the form of a standard business letter on letterhead of the Offeror and shall be signed by an individual authorized to legally bind the Offeror. The transmittal letter should identify all material and enclosures being submitted in response to the RFP. The transmittal letter shall also include:

1. A statement indicating that the Offeror is a corporation or other legal entity;
2. A statement confirming that the Offeror is registered to do business in Mississippi and providing their corporate charter number to work in Mississippi, if applicable;
3. A statement identifying the Offeror's federal tax identification number;
4. A statement that, if the Offeror is awarded the contract, the Contractor agrees that any lost or reduced federal matching money resulting from unacceptable performance of a Contractor task or responsibility, as defined in this RFP, shall be accompanied by reductions in State payments to the Contractor;

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5. A statement identifying any prior project where the Offeror was terminated before the final solution was operational;
6. A statement that no attempt has been made or will be made by the Offeror to induce any other person or firm to submit or not to submit a proposal;
7. A statement that the Contractor has or has not (*use applicable word*) retained any person or agency on a percentage, commission, or other contingent arrangement to secure this contract.
8. A statement that the Offeror has not retained a person to solicit or secure a State contract upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee except as disclosed in the Offeror's bid or proposal.
9. A statement that the Offeror has not violated, is not violating, and promises that it will not violate the prohibition against gratuities set forth in Section 6-204 of the Mississippi Personal Service Contract Procurement Regulations.
10. A statement of Affirmative Action, that the Offeror does not discriminate in its employment practices with regard to race, color, religion, age (except as provided by law), sex, marital status, political affiliation, national origin, or disability;
11. A statement that no cost or pricing information has been included in this letter or any other part of the technical proposal;
12. A statement identifying by number and date all amendments to this RFP issued by DOM which have been received by the Offeror. If no amendments have been received, a statement to that effect should be included;
13. A statement that the Offeror has read, understands and agrees to all provisions of this RFP without reservation;
14. Certification that the Offeror's proposal will be firm and binding for 180 days from the proposal due date;
15. A statement naming any outside firms responsible for writing the proposal;
16. A statement agreeing that the Contractor and all subcontractors will sign the Drug Free Workplace Certificate (Exhibit 1);
17. A statement that the Offeror has included the signed DHHS Certification Regarding Debarment, Suspension, and Other Responsibility Matters for Primary Covered Transactions (Exhibit 2) with the Transmittal letter;
18. All proposals submitted by corporations must contain certifications by the secretary, or other appropriate corporate official other than the corporate official signing the corporate proposal, that the corporate official signing the corporate proposal has the full authority to obligate and bind the corporation to the terms, conditions, and provisions of the proposal;
19. All proposals submitted must include a statement that the Offeror presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services under this contract, and it shall not employ, in the performance

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of this contract, any person having such interest; And,

20. If the proposal deviates from the detailed specifications and requirements of the RFP, the transmittal letter must identify and explain these deviations. DOM reserves the right to reject any proposal containing such deviations or to require modifications before acceptance.

### **5.3 EXECUTIVE SUMMARY**

The Executive Summary shall condense and highlight the contents of the Technical Proposal in such a way as to provide a broad understanding of the entire proposal. The Executive Summary shall include a summary of the proposed technical approach, the staffing structure, and the task schedule, including a brief overview of:

1. Proposed work plan;
2. Staff organizational structure;
3. Key personnel; and,
4. A brief discussion of the Offeror's understanding of the objectives and expectations of this RFP.

Also, Offerors shall provide a redacted proposal removing those provisions of the proposal which contain trade secrets or other proprietary data which they believe may remain confidential in accordance with Section 25-61-9 and 79-23-1 of the Mississippi Code.

The Executive Summary should be no more than five (5) single-spaced typed pages in length.

### **5.4 CORPORATE BACKGROUND AND EXPERIENCE**

The Corporate Background and Experience Section shall include for the Offeror details of the background of the company, its size and resources, details of corporate experience relevant to the proposed contract, financial statements, and a list of all current or recent Medicaid or related projects. The time frame to be covered should begin, at a minimum, in January 2008 through present date.

#### **5.4.1 Corporate Background**

The details of the background of the corporation, its size, and resources, shall cover:

1. Date established;
2. Location of the principal place of business;
3. Location of the place of performance of the proposed Contract;
4. Ownership (e.g.: public company, partnership, subsidiary);



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5. Total number of employees;
6. Number of personnel currently engaged in project operations;
7. Computer resources;
8. Performance history and reputation;
9. Current products and services; and
10. Professional accreditations pertinent to the services provided by this RFP.

#### **5.4.2 Financial Statements**

The Offeror shall provide a copy of the corporation's most recent annual report, including consolidated balance sheets and related statements of income, stockholders' or partners' equity and changes in financial position and a summary of significant accounting principles, for each of the last five (5) years. The financial information should be compiled, reviewed and audited by a Certified Public Accountant.

DOM reserves the right to request any additional information to assure itself of an Offeror's financial status.

#### **5.4.3 Corporate Experience**

The corporate experience section must present the details of the Offeror's experience with the type of service to be provided by this RFP and Medicaid experience. A minimum of three (3) corporate references are required for this type of experience. DOM will check references during the evaluation process at its option. Each reference must include the client's name and address and the current telephone number of the client's responsible project administrator or of a senior official of the client who is familiar with the Offeror's performance and who may be contacted by DOM during the evaluation process. DOM reserves the right to contact officials of the client other than those indicated by the Offeror. Overlapping responsibilities on the same client's contract should be depicted so that they are easily recognized.

The Offeror must provide for each experience:

1. The client's name;
2. Client references (including phone numbers);
3. Description of the work performed;
4. Time period of contract;
5. Total number of staff hours expended during time period of contract;
6. Personnel requirements (skills and roles);
7. Publicly funded contract cost; and,
8. Any contractual termination within the past five (5) years.

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### **5.5 PROJECT ORGANIZATION AND STAFFING**

The Project Organization and Staffing section shall include project team organization, charts of proposed personnel and positions, estimates of the staff-hours by major task(s) to be provided by proposed positions, and résumés of all management and key professional personnel as required in this RFP.

The Offeror shall:

1. Provide experience and qualifications of each staff person proposed to work on this project;
2. Describe how the Offeror will train, educate, and supervise staff regarding this project;
3. Describe how the Offeror will ensure inter-rater reliability among its staff for this project; and
4. Discuss the Offeror's relationship with any proposed subcontractors, including how it will monitor these subcontractors; and its experience working with any proposed subcontractors. The Offeror shall provide references and qualifications of proposed subcontractors, and biographies of any subcontractor staff proposed to work on this project.

#### **5.5.1 Organization**

The Offeror must provide corporate and project organizational charts showing:

1. Position within the corporate organization of proposed key staff
2. Proposed project organizational chart of all staff during each phase as described in the RFP; and
3. Full-time, part-time and temporary status of all proposed project staff.

#### **5.5.2 Responsibilities**

This section should discuss the anticipated roles of personnel during all phases of the contract. All proposed key staff, including definitions of their responsibilities during each phase of the contract, should be included.

#### **5.5.3 Résumés**

Offerors must submit résumés of all proposed key staff. Experience narratives shall be attached to the résumés describing specific, detailed experience with projects of similar size scope and complexity to the project described by this RFP, a Medicaid program, and professional credentials, including any degrees, licenses and recent and relevant continuing education.

DOM has identified the following Key staff as required, including but not limited to:

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1. A Project Manager with Project Management Professional certification from the Project Management Institute (PMI)
2. A Lead Technical Resource with familiarity in the Health Information Technology field and related systems applications;
3. A Subject Matter Expert (SME) in EHR Systems, including specific experience with the Office of the National Coordinator (ONC) Authorized Testing and Certification Body (ATCB) certified version EHR(s) and e-prescribing solutions.

The résumés of key staff shall include:

1. Duration and experience as an employee with the Offeror;
2. All experience in working with Medicaid programs;
3. Experience in working with ONC Certified Versions of electronic health records and e-prescribing systems, or other HIT systems.;
4. Relevant education and training, including college degrees, dates of completion, and institution name and address; and
5. Names, positions, email address, and current phone numbers of a minimum of three (3) persons who can give information on the individual's experience and competence. Current DOM staff shall not be submitted for any reference for the above requirements.

The résumés of proposed managers shall also include:

1. Experience in managing large-scale contractual services projects;
2. Other management experience; and
3. Supervisory experience including details and number of people supervised.

If project management responsibilities will be assigned to more than one individual during the project (i.e., management may be changed following implementation), résumés must be provided for all persons concerned.

Each project referenced in a résumé should include the client name, the time period of the project, and the time period the person performed, as well as a brief description of the project and the person's responsibilities.

#### **5.5.4 Key Staff References**

Offerors must submit three references for each proposed key staff member. Each reference must include the name of the contact person, current address, telephone number, email address, and date and

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description of the service provided. Current DOM staff will not be submitted for any reference for the above requirements.

### **5.5.5 Backup Personnel Plan**

If additional staff is required to perform the functions of the contract, the Offeror should outline specifically its plans and resources for adapting to these situations. The Offeror should also address plans to ensure the longevity of staff in order to allow for effective DOM support.

## **5.6 METHODOLOGY**

The Methodology Section should describe the Offeror's approach to providing the services described in the scope of work, Section 1, of the RFP. The narrative descriptions within this section must include the following:

1. The description shall encompass the requirements of this RFP as outlined in Scope of Work.
2. The Section must describe the methodology to be followed in accomplishing each requirement outlined in the Scope of Work in sufficient detail to demonstrate the Offeror's direction and understanding of this RFP.
3. The Section must include a high-level project plan for the project. This project plan must be at the level of major tasks and milestones and be submitted in Microsoft Project.
4. The Section must summarize how DOM staff will be used as resources in this project. It is DOM's preference that DOM staff be included in all aspects of the engagement.
5. The Section should include information about past performance results and a plan for evaluating the proposed project.

## **5.7 PROJECT MANAGEMENT AND CONTROL**

The Project Management and Control Section shall include details of the methodology to be used in management and control of the project, project activities, and progress reports. This section will also provide processes for identification and correction of problems. Specific explanation must be provided if solutions vary from one phase to another. This section covers:

1. Project management approach;
2. Project control approach;
3. Manpower and time estimating methods;

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4. Sign-off procedures for completion of all deliverables and major activities;
5. Management of performance standards, milestones and/or deliverables;
6. Assessment of project risks and approach to managing them;
7. Anticipated problem areas and the approach to management of these areas, including loss of key personnel and loss of technical personnel;
8. Internal quality control monitoring;
9. Approach to problem identification and resolution;
10. Project status reporting, including examples of types of reports; and
11. Approach to DOM's interaction with contractor staff.

## **5.8 WORK PLAN AND SCHEDULE**

The Work Plan and Schedule must include a detailed work plan broken down by tasks and subtasks and a schedule for the performance of each task included in each phase of the contract. The schedule should allow ten (10) working days for DOM approval of each submission or re-submission of each individual deliverable. The work plan to be proposed should include all responsibilities, milestones, and deliverables outlined previously in this RFP. This section shall cover:

1. Any assumptions or constraints identified by the Offeror, both in developing the work plan and in completing the work plan.
2. Person-weeks of effort for each task or subtask, showing the Offeror's personnel and DOM personnel efforts separately.
3. A network diagram, showing the planned start and end dates for all tasks and subtasks, indicating the interrelationships of all tasks and subtasks, and identifying the critical path.
4. A Gantt chart, showing the planned start and end dates of all tasks and subtasks.
5. A discussion of how the work plan provides for handling of potential and actual problems.
6. A schedule for all deliverables. A minimum of ten (10) days review time by DOM.

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## **6. BUSINESS/COST PROPOSAL**

### **6.1 GENERAL**

All Offerors must certify in the transmittal letter that their offer shall be binding upon the Offeror for a period of 180 days following the proposal due date. Pricing will be considered as a separate criteria of the overall bid package.

Offerors must propose a firm fixed price for each of the requirements contained on the pricing schedule (Appendix A).

### **6.2 BID MODIFICATION IN THE EVENT OF A FEDERAL AND/OR STATE LAW, REGULATION OR POLICY**

In the event any change occurs in federal law, federal regulations, state law, state regulations, state policies, or state Medicaid plan coverage, and DOM determines that these changes impact materially on proposal pricing, DOM reserves the right to require the Offerors to amend their proposals. The failure of an Offeror to negotiate these required changes will exclude such Offeror from further consideration for contract award. All proposals shall be based upon the provisions of federal and state laws and regulations and DOM's approved Medicaid State Plan coverage in effect on the issuance date of this RFP, unless this RFP is amended in writing to include changes prior to the closing date for receipt of proposals.

### **6.3 PROPOSAL CONTENT**

The Business Proposal shall include only the following:

1. Appendix A – Budget Summary
2. Additional pricing schedules to adequately explain method of cost determination including all assumptions (i.e. service or enrollment volume assumptions).
3. A proposed payment plan that is deliverable and/or milestone based as referenced in Section 1.0, Scope of Work. The payment plan will be finalized during contract negotiations.
4. Each pricing schedule must be signed and dated by an authorized corporate official.
5. All proposals submitted by corporations must contain certification by the secretary or other appropriate corporate official, other than the signer of the corporate proposal, that the corporate official signing the corporate proposal has the authority to obligate and bind the corporation to the terms, conditions and provisions of the proposal.

Proposals received that do not include the above items may be rejected at the discretion of DOM. Proposals that contain any material other than the above may be rejected at the discretion of DOM.

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## **7. PROPOSAL EVALUATION**

### **7.1 GENERAL**

An Evaluation Committee comprised of DOM staff will be established to evaluate the merits of eligible proposals. The committee will be appointed by the Executive Director of the Division of Medicaid and will include members who have relevant experience in the Medicaid program. The Committee will be responsible for the evaluation of the technical and business proposals.

### **7.2 EVALUATION OF PROPOSALS**

A standard evaluation form will be utilized by the Evaluation Committee to ensure consistency in evaluation criteria. However, DOM retains the right to deviate from the standard form, if necessary to maintain the integrity of the procurement; and to ensure selection of the best qualified Contractor.

A maximum of 1,000 points will be available for each proposal which shall be comprised of a technical and a business proposal. Seven hundred (700) points may be awarded for the Technical Proposal and three hundred (300) points may be awarded for the Business Proposal. The points awarded per phase by the evaluation committee will be totaled to determine the points awarded per proposal.

Evaluation of eligible proposals will be conducted in five (5) phases. The Procurement Officer will complete Phase One. The Technical Proposal Evaluation Committee will complete Phase Two. The Business Proposal Evaluation Committee will complete Phase Three. In Phase Four, the Procurement Officer will compile the results of the technical and business evaluations and make a recommendation to the Executive Director of DOM based on the results of the evaluation. In Phase Five the award decision will be made by the Executive Director.

At its option, DOM may request an interview from Offerors in a competitive range in the evaluation. Offerors must be prepared to meet with DOM staff within five (5) days of notification. All costs associated with the interview will be the responsibility of the Offeror.

#### **7.2.1 Phase 1 - Evaluation of Offerors' Response to RFP**

In this phase, the Procurement Officer reviews each proposal to determine if each proposal is responsive. Each proposal will be evaluated to determine if it is complete and whether it complies with the instructions to Offerors in the RFP. Each proposal that is incomplete will be declared non-responsive and may be rejected with no further evaluation.

The Procurement Officer will determine if an incomplete proposal is sufficiently responsive to continue to Phase Two.

#### **7.2.2 Phase 2 - Evaluation of Technical Proposal**

Only those proposals which meet the requirements in Phase One will be considered in Phase Two.

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Any Technical Proposal that is incomplete or in which there are significant inconsistencies or inaccuracies may be rejected by the Division of Medicaid. The Division of Medicaid reserves the right to waive minor variances or reject any or all proposals. In addition, the Division of Medicaid reserves the right to request clarifications or enter into discussions with all Offerors.

The Evaluation Committee will review each Offeror’s Technical Proposal in order to determine if the Offeror sufficiently addresses all of the RFP requirements and that the Offeror has developed a specific approach to meeting each requirement.

<b>TECHNICAL PROPOSAL SECTION</b>	<b>MAXIMUM SCORE</b>
Corporate Background and Experience	100
Organization and Staffing	100
Project Management and Control	200
Methodology	200
Work Plan and Schedule	100
<b>TOTAL</b>	<b>700</b>

Proposals must score a minimum of 70% (490 points) of the total score in order to proceed to the Business/Cost phase of the evaluation. Proposals receiving less than 490 points will not be considered for the Business/Cost evaluation or contract award.

**7.2.2.1 Executive Summary**

The Evaluation Committee will review the Executive Summary to determine if it provides all information required in Section 5.3 of this RFP and is five (5) pages or less in length.

**7.2.2.2 Corporate Background and Experience**

The Evaluation Committee will evaluate the experience, performance on similar contracts, resources, and qualifications of the Offeror to provide the services required by the RFP. The evaluation criteria will address:

1. Experience of Offeror in providing the requested services.
2. Corporate experience providing similar services.
3. Amount and level of resources proposed by the Offeror.
4. Specific qualifications that evidence the Offeror’s ability to provide the services requested.
5. Current financial position and cash flow of the Offeror and evidence that the Offeror has a history of financial solvency.



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6. Any contract terminations or non-renewals within the past five (5) years.
7. Relevant experience that indicates your organizational qualifications for the performance of the potential contract.

#### **7.2.2.3 Organization and Staffing**

The Evaluation Committee will review this section of the Offeror's proposal to determine if the proposed organizational structure and staffing level are sufficient to accomplish the requirements of the RFP. The committee will review the organizational chart(s), time lines, the job descriptions including job qualifications, the resumes of key staff and qualifications for their proposed role, and the relationship of their past experience to their proposed responsibilities under this contract. The committee will evaluate the explanation of the Offeror regarding the relationship between the Offeror and the Project Manager to determine if they will have sufficient autonomy to make management decisions to improve the Offeror's delivery of services to DOM.

#### **7.2.2.4 Project Management and Control**

The Evaluation Committee will evaluate the Offeror's proposal to determine if all of the elements required by Section 5.7 of the RFP are addressed. Specifically, the committee will evaluate:

1. Offeror's approach to the management of the project and ability to keep the project on target and to ensure that the requested services are provided;
2. Offeror's control of the project to ensure that all requests are being met and that the Offeror is able to identify and resolve problems which occur;
3. Offeror's methods for estimating and documenting personnel hours spent by staff on project activities to be sure they are sound and fair;
4. Offeror's plans to comply with the reporting requirements of the contract, including the provision of status reports to DOM, and whether the reports are appropriate and sufficient to keep DOM informed of all aspects of the implementation and operation of the project; and
5. Offeror's understanding of the importance of communication with and inclusion of DOM staff and presenting a plan to do so appropriately.

#### **7.2.2.5 Methodology**

The Evaluation Committee will evaluate the approach and process offered to provide services as required by this RFP. In addition to the information required in Section 1.0 of this RFP, the evaluation criteria will address at a minimum the following (if applicable):

1. Processes and requirements for completion of the project as outlined in the statement of work.

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2. Processes for maintaining confidentiality of protected health information.
3. Processes for development and submission of required deliverables.
4. Scope of services provided through partnerships or subcontractors.
5. Processes for identifying Quality Assurance issues and the development of an appropriate corrective action plan.
6. Processes for identification of issues, escalation and resolution
7. Processes for risk identification and management

**7.2.2.6 Work Plan and Schedule**

The Evaluation Committee will review and evaluate the work plan as defined in Section 5.8 and schedule to determine if all tasks are included and if, for each task, a timeline and an identification of staff responsible for the task's accomplishment are indicated. The work plan must provide a logical sequence of tasks and a sufficient amount of time for their accomplishment.

**7.2.3 Phase 3 - Evaluation of Business/Cost Proposal**

Only those proposals that satisfactorily completed Phase 2 will be considered for Phase 3. DOM reserves the right to waive minor variances or reject any or all proposals.

Any bid price determined by DOM to be unrealistically or unreasonably low may not be considered acceptable, as such a proposal has a high probability of not being accomplished for the cost proposed. The Offeror may be required to produce additional documentation to authenticate the proposal price.

The maximum 300 points will be assigned to the lowest and best acceptable proposal. All other proposals will be assigned points based on the following formula:

$$\frac{X}{Y} * 300 = Z$$

X = lowest bid price  
Y = Offeror's bid price  
Z = assigned points

**7.3 Phase 4 and 5 - Selection**

After the evaluation committee has completed the evaluation of the proposals, a summary report including all evaluations will be submitted to the Executive Director of DOM. The Executive Director will make the final decision regarding the winning proposal.

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**Appendix A - Budget Summary**

Section 6.0 addresses submission of the Budget Summary. Failure to follow the submittal instructions will immediately disqualify the Offeror.

<b>Budget Summary Independent Verification and Validation (IV&amp;V) of Electronic Health Records and E-Prescribing System Upgrade (MEHRS/eScript) RFP #20130303</b>	
<b>Offeror Name:</b>	
<b>Total Contract Price:</b> \$ _____	
<b>Note: Fifteen percent (15%) of the cost for each deliverable will be withheld until the MEHRS Upgrade is successfully implemented and accepted by the State.</b>	
<b>The Offeror shall provide, as an attachment to the Budget Summary, a detailed worksheet by line item of all costs as it pertains to the Contractor's responsibilities and deliverables as found in Section 1.0 of the RFP.</b>	
<b>I certify that I am legally obligating the above named Offeror to the conditions of this contract.</b>	
<b>Signature:</b>	<b>Date:</b>
<b>Printed Name:</b>	<b>Title:</b>

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**Appendix B – HIPAA Business Associate Agreement**

This Business Associate Agreement (“Agreement”) is entered into between Mississippi Division of Medicaid (“DOM”) and **(enter name of Contractor here)** (“Business Associate”), and modifies any other prior existing agreement or contract for this purpose.

The effective date of this Agreement is the effective date of the Service Agreements and contracts entered into between DOM and Business Associate.

**I. RECITALS**

- a. DOM is a State Agency that acts both as an employer and as a Health Plan for public benefit with a principal place of business at 550 High Street, Suite 1000, Jackson, MS 39201.
- b. Business Associate is a corporation qualified to do business in Mississippi that will act to perform consulting services for DOM with a principal place of business at **(enter address of Contractor here)**.
- c. Pursuant to the Health Insurance Portability and Accountability Act (“HIPAA”) of 1996; the Health Information Technology for Economic and Clinical Health Act (“HITECH Act”), Title XIII of Division A, and Title IV of Division B of the American Recovery and Reinvestment Act of 2009; and their implementing regulations, including 45 C.F.R. Parts 160 and 164, Subparts A and E (“Privacy Rule”), and 45 C.F.R. Parts 160 and 164, Subparts A and C (“Security Rule”):
  - i. DOM, as a Covered Entity is required to enter into this Agreement to obtain satisfactory assurances that Business Associate will comply with and appropriately safeguard all Protected Health Information (“PHI”) Used, Disclosed, created or received by Business Associate on behalf of DOM, and
  - ii. certain provisions of HIPAA, the HITECH Act, and their implementing regulations apply to Business Associate in the same manner as they apply to DOM and such provisions must be incorporated into this Agreement.
- d. DOM desires to engage Business Associate to perform certain functions for, or on behalf of, DOM involving the Disclosure of PHI by DOM to Business Associate, or the creation or Use of PHI by Business Associate on behalf of DOM, and Business Associate desires to perform such functions, as set forth in the Service Agreements or contracts which involve the exchange of information, and wholly incorporated herein.

In consideration of the mutual promises below and the exchange of information pursuant to this Agreement and in order to comply with all legal requirements for the protection of this information, the parties therefore agree as follows:

**II. DEFINITIONS**

- a. “Breach” shall mean the acquisition, access, Use or Disclosure of PHI in a manner not permitted by the Privacy rule which compromises the security or privacy of the PHI, and subject to the exceptions set forth in 45 C.F.R. § 164.402.

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- b. “Business Associate” shall mean (**enter name of Contractor here**).
- c. “Covered Entity” shall mean DOM.
- d. “Data Aggregation” shall have the same meaning as the term “Data aggregation” in 45 C.F.R. § 164.501.
- e. “Designated Record Set” shall have the same meaning as the term “Designated record set” in 45 C.F.R. § 164.501.
- f. “Disclosure” shall have the same meaning as the term “Disclosure” in 45 C.F.R. § 160.103.
- g. “Health Plan” shall have the same meaning as the term “Health plan” in 45 C.F.R. § 160.103.
- h. “Individual” shall have the same meaning as the term “Individual” in 45 C.F.R. § 160.103 and shall include a person who qualifies as a personal representative in accordance with 45 C.F.R. § 164.502(g).
- i. “Privacy Rule” shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 C.F.R. Parts 160 and 164, Subparts A and E.
- j. “Protected Health Information” shall have the same meaning as the term “Protected health information” in 45 C.F.R. § 160.103, limited to the information created or received by Business Associate from or on behalf of DOM.
- k. “Required by Law” shall have the same meaning as the term “Required by law” in 45 C.F.R. § 164.103.
- l. “Secretary” shall mean the Secretary of the Department of Health and Human Services or his designee.
- m. “Security Incident” shall have the same meaning as the term “Security incident” in 45 C.F.R. § 164.304.
- n. “Security Rule” shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 C.F.R. Parts 160 and 164, Subparts A and C.
- o. “Service Agreement” shall mean the agreements and contracts entered into between DOM and Business Associate.

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- p. “Standard” shall have the same meaning as the term “Standard” in 45 C.F.R. § 160.103.
- q. “Subcontractor” shall have the same meaning as the term “Subcontractor” in 45 C.F.R. § 160.103.
- r. “Unsecured Protected Health Information” shall have the same meaning as the term “Unsecured protected health information” in 45 C.F.R. § 164.402.
- s. “Use” shall have the same meaning as the term “Use” in 45 C.F.R. § 160.103.
- t. “Violation” or “Violate” shall have the same meaning as the terms “Violation” or “violate” in 45 C.F.R. § 160.103.

All other terms not defined herein shall have the meanings assigned in HIPAA, the HITECH Act, and their implementing regulations.

**III. OBLIGATIONS AND ACTIVITIES OF BUSINESS ASSOCIATE**

- a. Business Associate agrees to not Use or Disclose PHI other than as permitted or required by this Agreement or as Required by Law.
- b. Business Associate agrees to use appropriate safeguards and comply, where applicable, with the Security Rule, to prevent Use or Disclosure of the PHI other than as provided for by this Agreement.
- c. Business Associate agrees to mitigate, to the extent practicable, any harmful effect that is known to Business Associate of a Use or Disclosure of PHI by Business Associate in Violation of the requirements of this Agreement.
- d. Business Associate agrees to immediately report to DOM any Use or Disclosure of the PHI not provided for by this Agreement of which it becomes aware, including Breaches of Unsecured PHI as required by 45 C.F.R. § 164.410, and any Security Incident of which it becomes aware.
- e. Business Associate agrees to ensure that any Subcontractors that create, receive, maintain, or transmit PHI on behalf of the Business Associate agree to the same restrictions and conditions that apply to the Business Associate with respect to such information, all in accordance with 45 C.F.R. §§ 164.308 and 164.502.
- f. Business Associate agrees to ensure that any Subcontractors that create, receive, maintain, or transmit electronic PHI on behalf of the Business Associate agree to comply with the applicable requirements of the Security Rule and Privacy Rule by entering into a Business Associate Agreement in accordance with 45 C.F.R. §§ 164.314, 164.502, and 164.504, and ensuring that any Subcontractor executes a separate Business Associate Agreement with DOM.

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- g. Business Associate agrees to provide access, at the request of DOM, and in the time and manner designated by DOM, to PHI in a Designated Record Set, to DOM or, as directed by DOM, to an Individual in order to meet the requirements under 45 CFR § 164.524.
- h. Business Associate agrees to make any amendment(s) to PHI in a Designated Record Set that DOM directs or agrees to pursuant to 45 CFR § 164.526 at the request of DOM or an Individual, and in the time and manner designated by DOM.
- i. Business Associate agrees to document such Disclosures of PHI and information related to such Disclosures as would be required for DOM to respond to a request by an Individual for an accounting of Disclosures of PHI in accordance with 45 CFR § 164.528.
- j. Business Associate agrees to provide to DOM or an Individual, in a time and manner designated by DOM, information collected in accordance with paragraph (i) of Section III of this Agreement, to permit DOM to respond to a request by an Individual for an accounting of Disclosures of PHI in accordance with 45 CFR § 164.528.
- k. Business Associate agrees that to the extent that Business Associate carries out DOM's obligations under the Privacy Rule, Business Associate will comply with the requirements of the Privacy Rule that apply to DOM in the performance of such obligation.
- l. Business Associate agrees to make internal practices, books, and records, including policies and procedures and PHI, relating to the Use and Disclosure of PHI received from, or created or received by Business Associate on behalf of, DOM available to the Secretary for purposes of determining DOM's compliance with the Privacy Rule.
- m. Business Associate agrees that all of DOM's data will not be co-mingled with other trading partner's data. Data will be stored in an individual structure and will be easily identifiable and exportable.
- n. The provisions of the HITECH Act that apply to Business Associate and are required to be incorporated by reference in a Business Associate Agreement are hereby incorporated into this Agreement, including, without limitation, 42 U.S.C. §§ 17935(b), (c), (d) and (e), and 17936(a) and (b), and their implementing regulations.
- o. Without limitation of the foregoing:
  - i. Pursuant to 42 U.S.C. § 17931(a), the following sections of the Security Rule shall apply to Business Associate in the same manner as they apply to DOM: 45 C.F.R. §§ 164.308 (Administrative Safeguards); 164.310 (Physical Safeguards); 164.312 (Technical Safeguard); and 164.316 (Policies and procedures and documentation requirements).

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- ii. 42 U.S.C. §§ 17931(b) and 17934(c), and their implementing regulations, each apply to Business Associate with respect to its status as a business associate to the extent set forth in each such Section.
- iii. Pursuant to 45 C.F.R. § 164.410, without unreasonable delay, and no later than seventy-two (72) hours after discovery, Business Associate shall notify DOM of any Breach of Unsecured PHI. The notification shall include, to the extent possible and subsequently as the information becomes available, the identification of all Individuals whose Unsecured PHI is reasonably believed by Business Associate to have been Breached along with any other available information that is required to be included in the notification to the Individual, HHS and/or the media, all in accordance with the data Breach notification requirements set forth in 42 U.S.C. § 17932 and 45 C.F.R. Parts 160 and 164, Subparts A, D, and E.

**IV. PERMITTED USES AND DISCLOSURES BY BUSINESS ASSOCIATE**

- a. General Use and Disclosure Provisions: Except as otherwise limited in this Agreement, Business Associate may Use or Disclose PHI to perform functions, activities, or services for, or on behalf of, DOM as specified in the Service Agreements and contracts, provided that such Use or Disclosure would not Violate what is Required by Law, or the minimum necessary policies and procedures of DOM, or the Privacy Rule if done by DOM, except for the specific Uses and Disclosures set forth below, for the purpose of performing the Service Agreement.
- b. Specific Use and Disclosure Provisions:
  - i. Except as otherwise limited in this Agreement, Business Associate may Use PHI, if necessary, for the proper management and administration of the Business Associate or to carry out the legal responsibilities of the Business Associate under the Service Agreements and contracts entered into between DOM and Business Associate.
  - ii. Except as otherwise limited in this Agreement, Business Associate may Disclose PHI for the proper management and administration of the Business Associate or to carry out the legal responsibilities of the Business Associate, provided that Disclosures are Required by Law, or Business Associate obtains reasonable assurances from the person to whom the information is Disclosed that it will remain confidential and Used or further Disclosed only as Required by Law or for the purpose for which it was Disclosed to the person, and the person notifies the Business Associate of any instances of which it is aware in which the confidentiality of the information has been Breached.
  - iii. Except as otherwise limited in this Agreement, Business Associate may Use PHI to provide Data Aggregation services exclusively to DOM as permitted by 42 C.F.R. § 164.504(e)(2)(i)(B).

**V. OBLIGATIONS OF DOM**



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- a. DOM shall provide Business Associate with the Notice of Privacy Practices that DOM produces in accordance with 45 C.F.R. § 164.520, attached hereto as Exhibit “A” and wholly incorporated herein, as well as any changes to such Notice of Privacy Practices.
- b. DOM shall notify Business Associate of any limitation(s) in its Notice of Privacy Practices to the extent that such limitation may affect Business Associate's Use or Disclosure of PHI.
- c. DOM shall notify Business Associate of any changes in, or revocation of, permission by Individual to Use or Disclose PHI, to the extent that such changes may affect Business Associate's Use or Disclosure of PHI.
- d. DOM shall notify Business Associate of any restriction to the Use or Disclosure of PHI that DOM has agreed to in accordance with 45 C.F.R. § 164.522, to the extent that such restriction may affect Business Associate's Use or Disclosure of PHI.
- e. Permissible Requests by DOM: DOM shall not request Business Associate to Use or Disclose PHI in any manner that would not be permissible under the Privacy Rule if done by DOM, except as provided for in paragraph (b) of section (IV) of this Agreement.

**VI. TERM AND TERMINATION**

- a. Term. The Term of this Agreement shall be effective as of the effective date of the Service Agreements and contracts entered into between DOM and Business Associate, and shall terminate when all of the PHI provided by DOM to Business Associate, or created or received by Business Associate on behalf of DOM, is destroyed or returned to DOM, or, if it is infeasible to return or destroy PHI, protections are extended to such information, in accordance with the termination provisions in this Section. Termination of this Agreement shall automatically terminate the Service Agreement.
- b. Termination for Cause. Upon DOM's knowledge of a material Breach or Violation by Business Associate, Business Associate authorizes that DOM shall, at its discretion, either:
  - i. provide an opportunity for Business Associate to cure the Breach or end the Violation and terminate this Agreement and the associated Service Agreements or contracts, if Business Associate does not cure the Breach or end the Violation within the time specified by DOM, or
  - ii. immediately terminate this Agreement and the associated Service Agreements or contracts if Business Associate has Breached a material term of this Agreement and cure is not possible.
- c. Effect of Termination.
  - i. Except as provided in subsection (ii) of paragraph (c) of section (VI) of this Agreement, upon termination of this Agreement, for any reason, Business Associate shall return or destroy all PHI received from, or created or received by Business

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Associate on behalf of, DOM in accordance with State and Federal retention guidelines. This provision shall apply to PHI that is in the possession of Subcontractors or agents of Business Associate. Business Associate shall retain no copies of the PHI.

- ii. In the event that Business Associate determines that returning or destroying the PHI is infeasible, Business Associate shall provide to DOM notification of the conditions that make return or destruction infeasible. Upon notification in writing that return or destruction of PHI is infeasible, Business Associate shall extend the protections of this Agreement to such PHI and limit further Uses and Disclosures to those purposes that make the return or destruction infeasible, for so long as Business Associate maintains such PHI.

**VII. MISCELLANEOUS**

- a. Regulatory References. A reference in this Agreement to a section of the implementing regulations of HIPAA or the HITECH Act means the section as in effect or as amended, and for which compliance is required.
- b. Amendment. The Parties agree to take such action as is necessary to amend this Agreement as is necessary to effectively comply with the terms of any Service Agreements or contracts, or for DOM to comply with the requirements of HIPAA, the HITECH Act, and their implementing regulations. Such modifications signed by the parties shall be attached to and become part of this Agreement.
- c. Survival. The respective rights and obligations of Business Associate under the Section, "Effect of Termination" of this Agreement shall survive the termination of this Agreement.
- d. Interpretation. Any ambiguity in this Agreement shall be resolved to permit DOM to comply with HIPAA, the HITECH Act, and their implementing regulations.
- e. Indemnification. Business Associate will indemnify and hold harmless DOM to this Agreement from and against all claims, losses, liabilities, costs and other expenses incurred as a result of, or arising directly or indirectly out of or in conjunction with:
  - i. any misrepresentation, breach of warranty or non-fulfillment of any undertaking on the part of the party under this Agreement, and
  - ii. any claims, demands, awards, judgments, actions and proceedings made by any person or organization arising out of or in any way connected with the performance of the Business Associate under this Agreement.
- f. Business Associate's Compliance with HIPAA. DOM makes no warranty or representation that compliance by Business Associate with this Agreement, HIPAA, the HITECH Act, or related regulations will be adequate or satisfactory for Business Associate's own purposes or that any information in Business Associate's possession or control, or transmitted or received by Business Associate, is or will be secure from unauthorized Use or Disclosure. Business Associate is solely responsible for all decisions made by Business Associate regarding the safeguarding of PHI.

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- g. Notices. Any notice required to be given pursuant to the terms and provisions of this Agreement shall be in writing and may be either personally delivered or sent by registered or certified mail in the United States Postal Service, Return Receipt Requested, postage prepaid, addressed to each party at the addresses which follow or to such other addresses as the parties may hereinafter designate in writing:

DOM: **Office of the Governor  
Division of Medicaid  
550 High Street, Suite 1000  
Jackson, MS 39201**

Business Associate: **(enter Contractor information here)**

Any such notice shall be deemed to have been given, if mailed as provided herein, as of the date mailed.

- h. Change in Law. In the event that there are subsequent changes or clarifications of statutes, regulations or rules relating to this Agreement, DOM shall notify Business Associate of any actions it reasonably deems are necessary to comply with such changes, and Business Associate promptly shall take such actions. In the event that there shall be a change in the federal or state laws, rules or regulations, or any interpretation or any such law, rule, regulation or general instructions which may render any of the material terms of this Agreement unlawful or unenforceable, or materially affects the financial arrangement contained in this Agreement, Business Associate may, by providing advanced written notice, propose an amendment to this Agreement addressing such issues.
- i. Severability. In the event any provision of this Agreement is held to be unenforceable for any reason, the unenforceability thereof shall not affect the remainder of this Agreement, which shall remain in full force and effect and enforceable in accordance with its terms.
- j. Governing Law. This Agreement shall be construed broadly to implement and comply with the requirements relating to the HIPAA and HITECH Act laws and regulations. All other aspects of this Agreement shall be governed under the laws of the State of Mississippi.
- k. Assignment/Subcontracting. This Agreement shall inure to the benefit of and be binding upon the parties hereto and their respective legal representatives, successors and assigns. Except as otherwise provided in the Service Agreement or contract and any proposal or RFP related thereto and agreed upon between the parties, Business Associate may not assign or subcontract the rights or obligations under this Agreement without the express written consent of DOM, provided that any Subcontractor executes a separate Business Associate Agreement with DOM. DOM may assign its rights and obligations under this Agreement to any successor or affiliated entity.
- l. Entire Agreement. This Agreement contains the entire agreement between parties and supersedes all prior discussions, negotiations and services for like services.
- m. No Third Party Beneficiaries. Nothing express or implied in this Agreement is intended to confer, nor shall anything herein confer, upon any person other than DOM, Business Associate and their respective successors or assigns, any rights, remedies, obligations or liabilities whatsoever.

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- n. Assistance in Litigation or Administrative Proceedings. Business Associate shall make itself and any agents, affiliates, assignees, subsidiaries, Subcontractors or employees assisting Business Associate in the fulfillment of its obligations under this Agreement, available to DOM, at no cost to DOM, to testify as witnesses, or otherwise, in the event of litigation or administrative proceedings being commenced against DOM, its directors, officers or employees based upon claimed Violation of HIPAA, the HITECH Act, their implementing regulations or other laws relating to security and privacy, except where Business Associate or its agents, affiliates, assignees, subsidiaries, Subcontractors or employees are a named adverse party.

IN WITNESS WHEREOF, the parties hereto have duly executed this Agreement to be effective on the date first herein written.

DOM

BUSINESS ASSOCIATE

\_\_\_\_\_

\_\_\_\_\_

Name:

Name:

Title: Executive Director

Title:

Date:

Date:

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**EXHIBIT 1**

**DHHS CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS:**

**GRANTEES OTHER THAN INDIVIDUALS**

**Instructions for Certification**

By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

1) This certification is required by regulations implementing the Drug-Free Act of 1988, 45 CFR Part 76, Subpart F. The regulations, published in the May 25, 1990, Federal Register, require certification by grantees that they will maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the Department of Health and Human Services (HHS) determines to award the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HHS, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

2) Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

3) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

4) If the workplace identified to DOM changes during the performance of the grant, the grantee shall inform DOM of the change(s), if it previously identified the workplaces in question (see above).

5) Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

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"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including (i) all direct charge employees; (ii) all indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

The grantee certifies that it will or will continue to provide a drug-free workplace by

a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

b) Establishing an ongoing drug-free awareness program to inform employees about

1) The dangers of drug abuse in the workplace; 2) the grantee's policy of maintaining a drug-free workplace; 3) any available drug counseling, rehabilitation, and employee assistance programs; and 4) the penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will

1) Abide by the terms of the statement; and 2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e) Notifying DOM in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted:

1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or 2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

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The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant (use attachments if needed):

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

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

---->NOTE: Sections 76.630(c) and (d)(2) and 76.635(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For HHS, the central receipt point is Division of Grants Management and Oversight, Office of Management and Acquisition, HHS, Room 517-D, 200 Independence Ave, S.W., Washington, D.C. 20201

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title

\_\_\_\_\_  
Organization

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**EXHIBIT 2**

**DHHS Certification Regarding Debarment, Suspension, and Other Responsibility Matters  
Primary Covered Transactions  
45 CFR Part 76, Appendix A**

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

- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
- b. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- c. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- d. Have not within a three-year period preceding this proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

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

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title

\_\_\_\_\_  
Organization