



# REQUEST FOR PROPOSALS

## Preadmission Screening and Resident Review (PASRR) Administration

RFP #20110902

Contact:  
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### Due Dates

Questions & Letter of Intent  
E-MAIL or MAIL or HAND DELIVERY  
3:00 PM Central Daylight Savings Time, Friday, September 30, 2011

Answers Posted to Internet [www.medicaid.ms.gov/bids.aspx](http://www.medicaid.ms.gov/bids.aspx)  
5:00 PM Central Daylight Savings Time, Friday, October 7, 2011

Sealed Proposals  
MAIL or HAND DELIVERY ONLY  
3:00 PM Central Daylight Savings Time, Friday, October 21, 2011

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## 1.0 SCOPE OF WORK

### 1.1 PURPOSE

The State of Mississippi, Office of the Governor, Division of Medicaid, hereinafter DOM, issues this request for proposals (RFP) from responsible contractors to conduct all functions of the Mental Health Preadmission Screening and Resident Reviews (PASRR). The determination for rehabilitative and specialized services will be conducted under delegated authority from the Mississippi Department of Mental Health. DOM is seeking a qualified Contractor to provide administration of an all new PASRR program that will meet all requirements of 42 CFR 483 Subpart C.

A Preadmission Level I screening (PAS) is required for all persons who apply to or reside in Medicaid certified nursing facilities regardless of the source of payment for the nursing facility service and regardless of the individual's known diagnoses. 42 CFR 483 Subpart C requires additional screening (PASRR) of all individuals identified in the PAS as having mental illness or intellectual disability/developmental disability to determine the need for specialized or rehabilitative services and the appropriateness of nursing facility placement.

### 1.2 BACKGROUND

DOM administers the PASRR program in collaboration with a sister state agency, the Mississippi Department of Mental Health (DMH). DOM conducts the initial Preadmission Screening (PAS) also referred to as a Level I screening. DMH conducts the PASRR reviews, also known as Level II screenings, for individuals with an indication of mental illness and/or intellectual disability/developmental disability through Community Mental Health Centers and Regional Centers who recommend and provide needed specialized services.

Data for state fiscal year 2010 and 2011 is provided below.

SFY 2010	SFY 2011
193 Medicaid certified nursing facilities	196 Medicaid certified nursing facilities
1050 PASRR Level II Screens completed	1506 PASRR Level II Screens completed

A full description of the current policy and procedure can be found in Section 20 of the DOM Provider Manual located at <http://www.medicaid.ms.gov/ProviderManualSection.aspx>.

Other program data can be found at <http://www.medicaid.ms.gov/MentalHealthServicesDetails.aspx>.

### 1.3 PROCUREMENT OVERVIEW

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

September 2, 2011	Release RFP
September 30, 2011 (3:00 p.m. CST)	Deadline for Letter of Intent and Written Questions
October 7, 2011 (5:00 p.m. CST)	Response to Questions Posted
October 21, 2011 (3:00 p.m. CST)	Proposal Deadline

October 24 - 26, 2011	Evaluation of Technical Proposal
October 27 - 28, 2011	Evaluation of Business Proposal
November 1 - 4, 2011	Executive Review and Award of Contract
December 13, 2011	PSCRB Meeting (proposed)
December 14 - 21, 2011	Contracts Signed and Notarized
January 1, 2012	Contract Start Date

### 1.3.1 Mandatory Letter of Intent

The Offerors are required to submit a Letter of Intent to bid. This letter will be due by 3:00 p.m. CST, September 30, 2011, and should be sent to:

Melanie Wakeland  
 Procurement Officer  
 Division of Medicaid  
 550 High St., Suite 1000  
 Jackson, Mississippi 39201

Email: [melanie.wakeland@medicaid.ms.gov](mailto:melanie.wakeland@medicaid.ms.gov).

This letter shall be on the official business letterhead of the Offeror and must be signed by an individual authorized to commit the company to the work proposed. Submission of the Letter of Intent shall not be binding on the prospective Offeror to submit a proposal. However, firms that do not submit a Letter of Intent by 3:00 p.m. CST, September 30, 2011, will not thereafter be eligible for the procurement.

Prior to September 30, 2011, all RFP amendments will be sent to all organizations that request an RFP, and will be posted on DOM's procurement website, [www.medicaid.ms.gov/bids.aspx](http://www.medicaid.ms.gov/bids.aspx). After September 30, 2011, RFP amendments will only be distributed to those firms submitting a Letter of Intent.

### 1.3.2 Procedure for Submitting Questions

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 not later than 5:00 PM CST, Friday, October 7, 2011, via DOM's procurement website, [www.medicaid.ms.gov/bids.aspx](http://www.medicaid.ms.gov/bids.aspx). Questions and answers will become a 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 St., Suite 1000  
 Jackson, Mississippi 39201

OR EMAIL: [melanie.wakeland@medicaid.ms.gov](mailto:melanie.wakeland@medicaid.ms.gov)  
 REF: RFP # 20110902

### 1.3.3 Proposal Submission Requirements

Proposals must be in writing and must be submitted in two parts: Technical Proposal and Business Proposal. The format and content of each are specified in Sections 5 and 6 of this RFP.

Technical Proposals for this RFP must be submitted in 3-ring binders with components of the RFP clearly tabbed. An original and four (4) copies of the technical proposal under sealed cover and an original and two (2) copies of the business proposal under separate sealed cover must be received by DOM no later than 3:00 p.m. CST, on Friday, October 21, 2011. Offerors 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 St., Suite 1000  
Jackson, Mississippi 39201

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

REF: RFP # 20110902  
Technical Proposal  
(Name of Offeror)

The outside cover of the package containing the business proposals shall be marked:

REF: RFP # 20110902  
Business Proposal  
(Name of Offeror)

As the proposals are received, the sealed proposals will be date-stamped and recorded by DOM. The parties submitting proposals are responsible for ensuring that the sealed competitive proposal is delivered by the required time and to the required location and the parties assume all risks of delivery. No facsimile proposals will be accepted. The 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 TECHNICAL REQUIREMENTS

The Scope of Work section is written to describe the requirements for the contractor. Proposals must clearly and succinctly state how the Offeror proposes to meet or exceed the requirements if they are selected as the contractor.

DOM requires that the Offeror be prepared to demonstrate and document the ability to perform the scope of work as stated in the request for proposal. However, DOM reserves the right to consider other options which the contractor chooses to offer if alternatives are more cost efficient and ensure the same or better outcomes with quality results for the program. In addition, DOM reserves the right to make appropriate adjustments in the scope of work by written agreement between DOM and the Contractor on an as needed basis.

The overall Scope of Work and Deliverables required under this RFP may vary from year to year as the Medicaid program changes due to federal and state requirements.

The Contractor must demonstrate high quality administrative and clinical leadership in similar health management services. The Contractor will be required to develop, implement and conduct all phases of a new PASRR administrative process that will meet all federal and state requirements. The Offeror's proposal should include procedures for conducting the following PASRR activities.

#### **1.4.1 Level I Preadmission Screen (PAS)**

1. The Contractor shall review all Preadmission Level I Screenings (PAS) to determine if there is an indication or suspicion of mental illness and/or intellectual disability/developmental disability (MI/MR); and the appropriateness of nursing facility (NF) placement. PAS must be reviewed by a Registered Nurse or a physician.
2. The Contractor shall determine if an approved reason applies which would negate the need for the Level II PASRR screening. Approved reasons include:
  - a. **Primary** diagnosis of Alzheimer's disease, dementia, or similar disorder to such a degree that the individual would be unable to benefit from specialized services;
  - b. No indication of MI/MR;
  - c. Or if indication of MI/MR and an Advanced Group Categorical Determination is present.

#### **1.4.2 Advanced Group Categorical Determinations**

The Contractor shall determine if conditions are present for an Advanced Group Categorical Determination. Some MI/MR individuals are unlikely to need or benefit from specialized services. These individuals may be recommended for nursing facility admission without being referred for a Level II PASRR, provided they are not a danger to themselves or others. These determinations must be documented.

1. Terminal illness with a life expectancy of six (6) months or less
2. Severe physical illness or condition such as a coma, ventilator dependence, brain stem level functioning; or a diagnosis such as severe COPD, Parkinson's disease, Huntington's disease, Amyotrophic Lateral Sclerosis or Congestive Heart failure.
3. The need for respite care of ten (10) days or less.
4. The need for short-term convalescent care when nursing facility admission is directly from a hospital. The physician must certify the individual is likely to require less than thirty (30) days of nursing facility services. If a longer stay is required, a Level II PASRR evaluation must be conducted within forty (40) calendar days of admission.
5. The need for provisional admission in an emergency situation requiring protective services. If a stay longer than seven (7) days is required, a referral for a Level II Evaluation must be initiated within seven (7) days of admission.

If the screening physician believes that the individual would benefit from specialized services despite the presence of any of the above conditions, the physician should refer the individuals for a Level II Evaluation.



Findings for Advanced Group Categorical Determinations must be documented in a brief written evaluative report by the screening physician (or nurse practitioner).

### **1.4.3 Preadmission Resident Review Level II Screen (PASRR)**

The Contractor shall conduct initial Level II PASRR Evaluations for all individuals referred through the Level I PAS review. The PASRR will confirm or deny the appropriateness for nursing facility placement; and will identify the need for and will recommend special services. The initial Level II PASRR Evaluation must be completed prior to nursing facility admission, except in extremely rare situations.

There are two circumstances in which Level II Evaluations may be completed after nursing facility admission.

- The PAS indicated the admission was for provisional, respite or short-term convalescent care, but it is later determined that the stay will exceed timelines set forth in 1.4.2.
- A nursing facility resident with no previous indication of mental illness or intellectual disability/developmental disability begins to exhibit signs of mental illness or intellectual disability/developmental disability.

The Contractor shall conduct subsequent Level II Evaluations when there is a significant change in the physical, mental, or emotional condition of a nursing facility resident with previously identified mental health needs. The purpose of the subsequent evaluation is to assess whether or not the resident is still appropriate for nursing facility care; and if changes in condition require adjustments to specialized services.

The Contractor shall assess each individual's needs for mental health rehabilitative services and/or specialized services for mental illness and or intellectual disability/developmental disability. When additional services are needed, the Contractor shall recommend the specific services needed in the PASRR Level II Screening Summary. If it is determined that mental health rehabilitative services are required, the nursing facility is responsible for providing them.

The PAS and PASRR must involve the individual being evaluated; the individual's legal and/or designated representative; and the individual's family (if they are available and the individual and legal and/or designated representative agree to family participation.)

Interdisciplinary coordination must occur and be documented when more than one evaluator performs any portion of the Level II Evaluation.

The gathering of information necessary for determining whether it is appropriate for the individual with MI and/or MR to be placed in a nursing facility or in another appropriate setting should occur throughout all applicable portions of the PASRR evaluation. The Contractor shall consider all information and make recommendations based upon a comprehensive analysis of all data concerning the individual. The Contractor shall use data obtained prior to initiation of the PASRR process, if it is considered valid and accurate and reflects the current functional status of the individual. The Contractor shall be responsible for insuring that existing data is current and accurate by gathering additional information needed to assess proper placement and treatment. Information may be obtained or released only with properly executed consents.

### **1.4.4 Monitoring and Follow-up Activities**

The Contractor shall engage in other review activities to insure the recommended specialized services are being provided. These activities may include claims review, interviews with facility staff and family members, and review of resident records maintained by the nursing facility.

The Contractor shall re-evaluate all current nursing facility residents previously having an indication of MI/MR. This will include approximately 3000 Level II re-evaluations. The re-evaluations should be completed by December 31, 2012.

#### **1.4.5 Due Process and Right to an Appeal**

The Contractor shall be responsible for notifying the individual, his or her legal representative and/or designated representative in writing of all determinations made concerning the individual, including the determination that the individual is suspected of having Mental Illness and/or Intellectual disability/developmental disability and is being referred for a Level II Evaluation. This is accomplished by including the individual's signature on the Level I evaluation and providing a copy of the PAS to the individual, and his or her legal and/or designated representative.

The PAS, the Level II Evaluations, and all notices must be adapted to the cultural background, language, ethnic origin and means of communication used by the individual being evaluated. PAS and Level II Evaluation findings must be interpreted and explained to the individual and legal and/or designated representative.

All documentation concerning the PASRR will be maintained by the Contractor in accordance with State Law. All PASRR Determinations must be recorded in the resident's record at the nursing facility to which they are admitted and maintained in accordance with State Law.

If an individual or his legal and/or designated representative does not agree with the PASRR Determination made by the Contractor, the individual has a right to appeal the decision. The Contractor shall conduct reconsiderations in accordance with federal regulations. All reconsideration reviews shall examine all relevant evidence in the record regarding services requested; and any new documentation obtained. The Contractor shall make a determination upholding, modifying, or reversing its original determination taking into consideration any additional new information that may be presented at the reconsideration. If, after the reconsideration granted by the Contractor, the individual still does not agree they may appeal to DOM.

#### **1.5 KEY PERSONNEL**

The Offeror should propose personnel for each phase of the PASRR process who are fully qualified to perform the work required therein. DOM must have unlimited access to key personnel for discussion of all aspects of this contract.

The Contractor may not make any permanent or temporary changes in key personnel assigned to this Contract without DOM's prior written approval. DOM reserves the right to approve all key staff persons assigned to this Contract.

Key personnel for program implementation and operations include, at a minimum, the following:

1. Project Manager for each Phase – This key staff person will be the person responsible for implementation and/or operations of the contract requirements, including all deliverables. This person must have five years experience in project management and must have a college or university degree. The individual must have general knowledge of the Medicaid program.
2. Other Key Support Staff – Other key staff persons as assigned by the Contractor must meet all requirements set forth by federal law, CMS, and state law for scope of practice. All duties must be clearly defined and responsibilities must be directly related to program operations.

## 1.6 REPORTING REQUIREMENTS

The Contractor must provide status reports and administrative reports on a monthly, quarterly and annual basis. All annual reports should be concurrent with the State Fiscal Year which runs from July 1 to June 30. Annual reports will be due November 1 of each year. Monthly and quarterly reports will be due five (5) business days after the end of the reporting period. Status reports must be in a format approved by DOM and must include at a minimum the following information:

- Number of Level I screens reviewed
- Number of Significant Changes reviewed
- Total MI Level II reviews completed
- Total MR Level II reviews completed
- Combined total Level II reviews completed
- Number of categorical exemptions
- Number of Level II reviews completed within federal timelines
- Number of Level II reviews terminated within federal timelines
- Number of individuals identified who could best be served in the community
- Number of individuals referred for rehabilitative or specialized services
- Number of reviews completed to ensure delivery of recommended rehabilitative or specialized services

The Contractor must provide monthly Administrative Project Summaries to include operational priorities, outstanding issues, staffing volume, review volume and Contractor calendar of events

The Contractor must provide quarterly reports of **all instances** of non-receipt of recommended services.

## 1.7 CONTRACT PHASES

### 1.7.1 Implementation Phase

The Implementation Phase encompasses those activities required to ensure a smooth transition from the existing process to the successful Offeror. This will entail development of a series of DOM-approved plans and performance of activities preparatory to actually beginning the contract operations in the next phase. It is anticipated that this phase will begin January 1, 2012 and end March 31, 2012.

The Contractor shall create comprehensive plans, with DOM approval, prior to undertaking all facets of the development and implementation of the contract. The work plan must be logical in sequence of events including appropriate review time by DOM and sufficient detail for review. The plans must include a narrative that provides an overview of the approach that will result in an orderly transition of responsibilities. It must encompass all activities necessary to assume the responsibilities as the Medicaid PASRR management contractor in addition to a back-up and disaster recovery plan.

The Contractor shall submit a written report of program progress to DOM every week during the Implementation Phase. The progress report must specify accomplishments during the report period in a task-by-task format, including personnel hours expended, whether the planning tasks are being performed on schedule and any administrative problems encountered.

### 1.7.2 Operations Phase

During the Operations Phase, the Contractor must perform the responsibilities described in this RFP. The Contractor will be required to adhere to the performance requirements of the contract

as well as the requirements of any revisions in federal and state legislation or regulations which may be enacted or implemented during the period of performance of this contract that are directly applicable to the performance requirements of this contract. Such requirements will become a part of this contract effort through execution of a written contract amendment.

### **1.7.3 Turnover Phase**

The Contractor must provide assistance in turning over the responsibilities under this RFP to DOM or its designated agent. Upon receipt of notification of DOM's intent to transfer the contract functions to DOM or another contractor, the contractor must provide a Turnover Plan within the time frame specified by DOM. Time lines for turnover activities will be specified by DOM. The Turnover Plan must include, but is not limited to, the following:

1. Proposed approach to turnover
2. Tasks and subtasks for turnover
3. Schedule for turnover
4. Detailed chart depicting the Contractor's total operation
5. Transfer of Medicaid documents to DOM or its designated agent

Deliverables must be produced in an organized manner according to reasonable and customary business standards. Deliverables must be turned over to DOM in a form and condition that is satisfactory to DOM and in the time frames specified by DOM. Deliverables include the following:

1. Turnover Plan
2. Detailed organization chart
3. All Medicaid documents
4. Turnover Results Reports

## **1.8 PERFORMANCE STANDARDS**

### **1.8.1 Contractor Responsibilities**

Contractor will complete the PASRR process including the Referral, Evaluation, and Submission of Findings within seven (7) business days of receipt of a PAS or a significant change form.

Contractor will submit review summaries and administrative reports to DOM as specified in Section 1.6 of this RFP.

Contractor will submit ad hoc reports to DOM within three (3) business days following request.

Contractor will maintain adequate staff and ensure the ability to demonstrate the competency of PASRR evaluators.

### **1.8.2 Failure to Meet Performance Standards**

If the contractor does not meet the operational start date of April 1, 2012, the Contractor shall pay to DOM liquidated damages in the amount of \$1,000 per calendar day from April 1, 2012, until the Contractor becomes fully operational.

The amount assessed the Contractor for failure to meet the general requirements of the Operational Phase of the contract will be limited to a maximum of \$10,000 per month.

DOM may assess liquidated damages in the amount of \$1,000 for any month in which the contractor fails to complete the PASRR process with seven (7) business days.

DOM may assess liquidated damages in the amount of \$500 per workday for failure to timely submit a DOM approved corrective action plan until the corrective action plan is submitted.

DOM may assess \$500 per workday for failure to successfully carry out the DOM approved corrective action plan within the time frames outlined in the corrective action plan until the corrective action plan is completed.

DOM may assess liquidated damages in the amount of \$100 per workday per deliverable for each day a deliverable is unavailable or unacceptable.

## **1.9 CONTRACTOR PAYMENT**

The total amount payable by DOM to the Contractor under this contract shall be limited to the following:

### **1.9.1 Implementation Price**

The Contractor shall be paid an implementation price of no more than the actual implementation costs up to the amount specified in the Contractor's proposal set forth in Appendix A. The payment schedule will be determined within 30 days of the contract signing and based on milestones and deliverables. The total bid price for implementation must be entered in the appropriate block of Appendix A.

### **1.9.2 Operations Price**

Beginning April 1, 2012, or the program operations start date, the Contractor will be paid on a monthly basis in accordance with the Contractor's bid price proposal set forth in Appendix A which shall be firm and fixed for the period of the contract.

Contractors shall use the historical data provided in Sections 1.2 and 1.4.4 of this RFP to submit a price per review that is inclusive of all costs for the services outlined in the scope of work, including operations, production of all reports, and system management functions as defined in this RFP and a total fixed price per year. The Contractor will be paid per review in an amount not to exceed the total fixed price. The contract award will be based on the submitted price per year and the total amount payable under the resulting contract will not exceed the submitted price per year.

### **1.9.3 Turnover Price**

No specific or lump-sum payment shall be made by DOM for Turnover Phase services. Payment for such services shall be encompassed in the Operations Phase.

#### **1.9.4 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.

#### **1.9.5 Price Adjustment Clause**

DOM retains the authority to negotiate equitable price adjustments in response to changes in the Medicaid population subject to the services offered by this RFP.

##### **1.9.5.1 Price Adjustment Methods**

Any adjustment in contract price pursuant to a clause in this contract shall be made in one or more of the following ways:

1. By agreement on a fixed price adjustment before commencement of the additional performance;
2. By unit prices specified in the contract;
3. By the costs attributable to the event or situation covered by the clause, plus appropriate profit or fee, all as specified in the contract.

##### **1.9.5.2 Submission of Cost or Pricing Data**

The Contractor shall provide cost or pricing data for any price adjustments subject to the provisions of Section 3-403 (Cost or Pricing Data) of the Mississippi Personal Service Contract Procurement Regulations, which can be found at <http://www.spb.state.ms.us/personal-service-contract-review-board/pscrb-rules-regulations.aspx>.

#### **1.9.6 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 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 30 days following the notice. If payment is not made within 30 days following notice, DOM may deduct the amount from the Contractor's monthly administrative invoice.

#### **1.9.7 Release**

Upon final payment of the amounts due under this contract, the Contractor shall release DOM and its officers and employees from all liabilities and obligations whatsoever under or arising from this contract.

Payment to the Contractor by DOM shall not constitute final release of the Contractor. Should audit or inspection of the Contractor's records or client complaints subsequently reveal outstanding Contractor liabilities or obligations, the Contractor shall remain liable to DOM for such liabilities and obligations. Any overpayments by DOM shall be subject to any appropriate recoupment to which DOM is lawfully entitled. Any payment under this contract shall not foreclose the right of DOM to recover excessive or illegal payments as well as interest, attorney fees, and costs incurred in such recovery.

## **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 prospective contractors are charged with presumptive knowledge of all requirements of the cited authorities. The submission of a valid executed proposal by any prospective contractor shall constitute admission of such knowledge on the part of each prospective contractor. Any proposal submitted by any prospective contractor which 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 the states using state appropriated funds and federal matching 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, documentation must be provided as specified below:

1. The Offeror has not been sanctioned or had a contract terminated prior to the defined contract end date by any state or federal government within the last ten (10) years.
2. The Offeror must have a minimum of three (3) years experience in contractual services as described in the Scope of Work or significantly comparable utilization review activities experience.
3. The Offeror must be able to provide each required component and deliverable as 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: Technical Proposal and Business Proposal. The format and content are each specified in Sections 5 and 6 of this RFP.

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

All information provided by DOM in relation to this RFP represents the best and most accurate information available to DOM at the time of the RFP preparation. No inaccuracies in such data shall constitute a basis for change of the payments to the Contractor or a basis for legal recovery of damages, actual, consequential or punitive, except to the extent such inaccuracies are the result of intentional misrepresentation by DOM.

### **2.4 MEDICAID PROGRAM INFORMATION**

The DOM website at [www.medicaid.ms.gov](http://www.medicaid.ms.gov) provides various types of information that may be useful in responding to this RFP. The documentation on the Internet is for informational purposes only and is a supplement to the procurement process; not an alternative to official requirements outlined in this RFP. Some examples of information you can find include, but is not limited to:

1. Division of Medicaid Annual Reports (contain eligibility information and expenditures);
2. Provider Policy Manuals (contain coverage and policy issues); and
3. Other services and eligibility information.

All DOM procurements are posted on the website at [www.medicaid.ms.gov/bids.aspx](http://www.medicaid.ms.gov/bids.aspx) including this RFP and the responses to the RFP Questions and Answers, only after official release to those firms submitting a Letter of Intent to bid. This link also provides other information, which may be useful to potential bidders, such as a listing of Mississippi Medicaid covered services and a description of the agency's organization.

The official state website of Mississippi is [www.mississippi.gov](http://www.mississippi.gov).

The State Personal Services Contract Review Board Regulations can be found at <http://www.spb.state.ms.us/personal-service-contract-review-board/pscrb-rules-regulations.aspx>.

Other state government information is available at [www.transparency.mississippi.gov](http://www.transparency.mississippi.gov)

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### **3 PROCUREMENT**

#### **3.1 APPROACH**

It is the intent of the procurement process to ensure the fair and equitable treatment of all persons and bidders. 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 Personal Service Contract Review Board Regulations which are available for inspection at 210 East Capitol Street, Suite 800, Jackson, Mississippi or on the web at <http://www.spb.state.ms.us/personal-service-contract-review-board/pscrb-rules-regulations.aspx>.

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. DOM will award a firm fixed price contract to the Offeror whose offer is responsive to the solicitation and is most advantageous to DOM. 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 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 offer 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**

DOM reserves the right to amend the RFP at any time prior to the date for proposal submission. All amendments will be posted to DOM's procurement website at [www.medicaid.ms.gov](http://www.medicaid.ms.gov). After September 30, 2011, Offerors submitting proposals will be notified when amendments are released.

Bidders shall acknowledge receipt of any amendment to the solicitation by signing and returning the amendment with the bid, by identifying the amendment number and date by 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.

#### **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.

DOM also reserves the right to waive minor irregularities in bids providing such action is in the best 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 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, the State Personal Service Contract Review Board, and to CMS, if necessary, that award to the low 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

1. The proposal contains unauthorized amendments to the requirements of the RFP.
2. The proposal is conditional.
3. The proposal is incomplete or contains irregularities that make the proposal indefinite or ambiguous.
4. An authorized representative of the party does not sign the proposal.
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 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 will 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.

### **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 STATE APPROVAL**

Approval from the Personal Services Contract Review Board must be received before contract signing. Every effort will be made by DOM to facilitate rapid approval and an early start date.

## **3.5 AWARD NOTICE**

The notice of intended contract award shall be sent by carriers that require signature upon receipt, by fax with voice confirmation, or by email with reply confirmation to the winning Offeror. 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.

## **4 TERMS AND CONDITIONS**

### **4.1 GENERAL**

The contract between the State of Mississippi and the Contractor shall consist of 1) the contract and any amendments thereto; 2) this request for proposals (RFP) and any amendments thereto; 3) the Contractor's proposal submitted in response to the RFP by reference and as an integral part of this contract; 4) written questions and answers. In the event of a conflict in language among the four documents referenced above, the provisions and requirements set forth and/or referenced in the contract and its amendments shall govern. 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.

The contract shall be governed by the applicable provisions of the Personal Service Contract Review Board Regulations, a copy of which is available at 210 East Capitol Street, Suite 800, Jackson, Mississippi, for inspection or on their website at [www.spb.state.ms.us/personal-service-contract-review-board](http://www.spb.state.ms.us/personal-service-contract-review-board).

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 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 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 firm fixed price Contract based on the most advantageous proposal to the agency. The contract period is January 1, 2012 through December 31, 2014. DOM may have, under the same terms and conditions as the existing contract, an option for up to a one-year extension, provided DOM obtains approval from the Personal Services Contract Review Board and CMS to allow an extension period.

DOM will notify the Contractor by letter of its intentions to seek approval for an extension no less than six (6) months prior to the contract expiration date. If the extension of the contract necessitates additional funding beyond that which was included in the original contract, the increase in DOM's maximum financial obligation will be effective through an amendment to the contract.

At the conclusion of the contract, the Contractor is obligated to complete the processing of all activities initiated during the contract period. At the time of contract completion the Contractor must cooperate with DOM in transitioning the responsibilities of this contract to DOM or another contractor.

#### **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 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 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.

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 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 have the right upon 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:

1. Stop work under the contract on the date and to the extent specified in the Notice of Termination;
2. 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;
3. Terminate all orders and subcontracts to the extent that they relate to the performance of work terminated by the Notice of Termination;
4. 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;
5. Complete the performance of the work not terminated by the Notice of Termination;
6. 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;
7. Fully train DOM staff or other individuals at the direction of DOM in the operation and maintenance of the process;
8. Promptly transfer all information necessary for the reimbursement of any outstanding claims; and
9. 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.

#### **4.3.3.2 DOM Responsibilities**

Except for Termination for Contractor Default, 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 3.9.6) 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. 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 conflicts of laws 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 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  
Contractor  
Street Address  
City, State Zip Code

In case of notice to DOM:

Executive Director  
Division of Medicaid  
Walter Sillers Building, Suite 1000  
550 High Street  
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.

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.

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 Contractor 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 contractors 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 independently 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.

#### **4.7.3 Public Information**

Offerors must bind separately 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. The Contractor has no liability when such claim is solely and exclusively due to the combination, operation or use of any article supplied hereunder with equipment or data not supplied by the Contractor or is based solely and exclusively upon DOM's alteration of the article. 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 alternatives is 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 in progress. 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 Offeror represents that it 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 contractor's bid or proposal.

The Offeror is required to include the above clause in its transmittal letter.

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

In the event of a conflict in language among any of the components of the contract, the RFP shall govern. 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.

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 Contract Variations**

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 case, 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 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. Nothing in this clause shall in any manner excuse the Contractor from proceeding diligently with the contract as changed.

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 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 reasonable 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.

#### **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 a 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.

The Contractor shall not use DOM's name or refer to the contract 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).

#### **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, or disability. 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.

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 at the project in 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.

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 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.

The Contractor shall notify DOM promptly of any unauthorized possession, use, knowledge or attempt thereof, of DOM's data files or other confidential information. The Contractor shall promptly 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 those terms bid in the Business Proposal, are subject to disclosure under the State's Access to Public Records Act 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.

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 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.

##### **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 HIPAA Business Associate Agreement.

##### **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 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 7-204 (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 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 legal 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.

#### **4.15.11 E-Invoicing and E-Payment**

The State requires the Contractor to submit invoices electronically throughout the term of the agreement. Vendor invoices shall be submitted to the state agency using the processes and procedures identified by the State. 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. The Contractor understands and agrees that the State is exempt from the payment of taxes. All payments shall be in United States currency.

***Remainder of This Page Intentionally Left Blank***

## **5.0 TECHNICAL PROPOSAL**

### **5.1 INTRODUCTION**

Proposals should be submitted in three-ring binders or spiral bound binders with each section indexed with tabs. The main body of the proposal pages must be numbered and submitted in 12-point font on 8 ½ x 11 inch paper, single spaced. The size and/or style of pictures, graphics, tabs, attachments, margin notes/highlights, etc. are not restricted by this RFP and their use and style are at the Offeror's discretion.

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 proposing company and shall be signed by an individual authorized to legally bind the Offeror. It shall be included in each Technical Proposal. The letter should identify all material and enclosures being submitted in response to the RFP. The transmittal letter shall include:

1. The following clause:

The Offeror represents as a part of such Offeror's proposal that such Offeror has or has not (*use applicable word or words*) retained any person or agency on a percentage, commission, or other contingent arrangement to secure this contract.

2. A statement indicating that the Offeror is a corporation or other legal entity;
3. A statement confirming that the Contractor is registered to do business in Mississippi and providing their corporate charter number to work in Mississippi, if applicable;
4. A statement that 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;
5. A statement identifying the Offeror's Federal tax identification number;
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 not violated, is not violating, and promises that it will not violate the prohibition against gratuities set forth in Section 7-204 of the Mississippi Personal Service Contract Procurement Regulations.
8. 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;
9. A statement that no cost or pricing information has been included in this letter or any other part of the technical proposal;
10. A statement identifying 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;
11. A statement that the Offeror has read, understands and agrees to all provisions of this RFP without reservation;
12. Certification that the Offeror's offer will be firm and binding for 180 days from the proposal due date;
13. A statement naming any outside firms responsible for writing the proposal;
14. A statement agreeing that the Contractor and all subcontractors will sign the Drug Free Workplace Certificate (Exhibit 1);
15. 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;
16. 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; and,
17. All proposals submitted must include a statement that the bidder 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 of this contract, any person having such interest.
18. 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. It should demonstrate the Offeror's understanding of the services requested in this RFP, the nature of the contract, and any problems anticipated in accomplishing the work. Specifically, the Executive Summary should demonstrate the Offeror's familiarity with the project elements, a summary of its solution(s) to the problems presented and knowledge of the requested services and/or deliverable.



In this component, Offerors may designate 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 should demonstrate the Offeror's ability to be both fiscally and professionally responsible. Therefore, Offerors must include sufficient financial documentation to establish financial stability and satisfactory information regarding their professional responsibility. 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 shall cover, at a minimum:

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);
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**

Financial statements for the contracting entity shall be provided for each of the last five (5) years, including at a minimum:

1. statement of income
2. balance sheet
3. statement of changes in financial position during the last five (5) years
4. statement of cash flow
5. auditors' reports
6. notes to financial statements
7. summary of significant accounting policies

The State 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 one (1) corporate reference is required for each type of experience. DOM will check references at its option. DOM reserves the right to contact officials of customers other than those indicated by the Offeror. Overlapping responsibilities on the same customer's contract should be depicted so that they are easily recognized.

The Offeror must provide for each:

1. customer name and address;
2. name of the project administrator or senior official who is familiar with the Offeror's performance including phone number;
3. description of the work performed;
4. time period of contract;
5. staff months expended;
6. personnel requirements;
7. publicly funded contract cost; and
8. any contractual termination within the past five (5) years

## **5.5 PROJECT ORGANIZATION AND STAFFING**

The Project Organization and Staffing section is for Offerors to demonstrate the strength and applicability of prior experience in providing the requested services. This section should discuss the organizational structure and the anticipated roles of personnel during all phases of the contract. All proposed key team leaders must be identified for each phase, including descriptions of their responsibilities and estimates of the staff-hours by major task(s) (within phases) to be provided by proposed positions.

### **5.5.1 Organization**

This component must include an organizational chart for each phase as described in the RFP. Charts must identify all proposed personnel and positions indicating full-time and part-time status of each employee.

### **5.5.2 Key Staff Experience and References**

This component must include previous experience of all proposed key staff persons such as the Project Manager and other staff assigned to lead responsibilities on this contract.

Offerors shall submit a curriculum vitae or résumé for each person to include, at a minimum:

1. Duration and experience as an employee of the Offeror;
2. Knowledge and experience in working with Medicaid programs;
3. Relevant education, training, professional credentials, including any degrees, licenses and recent and relevant continuing education;

4. Experience in managing projects as described in this RFP, including a project description and number of people supervised, if applicable; and
5. References from at least three (3) projects and the persons who can give information regarding the individual's experience and competence. Provide the customer names, customer reference including positions, phone numbers and email addresses, 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.

Current DOM staff shall not be submitted for any reference for the above requirements.

If project management responsibilities will be assigned to more than one (1) individual during the project (i.e., management may be changed following implementation), the above information must be provided for all persons.

### **5.5.3 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 Contractor's approach to providing the services described in the scope of work, Section 1, of the RFP. This section should contain a comprehensive description of the proposed work plan. Proposals that merely offer to provide services as stated in this RFP and/or simply restate the RFP requirements will be considered non-responsive. The narrative descriptions should describe how the services will be performed to meet the requirements of the RFP and include, at a minimum, the following:

1. The description shall encompass the requirements of this RFP as outlined in the Scope of Work.
2. The proposal must describe the methodology to be followed in sufficient detail to demonstrate the Offeror understands the requirements of this RFP and how the Offeror can accomplish all responsibilities, including any resources to be used.
3. The proposal 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 or comparable tool.
4. The proposal must summarize how State of Mississippi agency staff will be used as resources in this project. It is the State's desire that agency staff be advised of all aspects of the engagement.
5. The proposal should include information about past performance results and a plan for evaluating the proposed project.

## **5.7 PROJECT MANAGEMENT**

The Project Management Section shall include details of the [planning](#), [organizing](#), securing and [managing](#) of [resources](#) to bring about the successful completion of all responsibilities defined in

this RFP. This section should address project management for each phase beginning with the initiation to the monitoring of each requirement.

This section should provide sufficient information to be used as a managing tool and provide the following information, at a minimum:

1. Project management approach
2. Project control approach
3. Manpower and time estimating methods
4. Project status reporting, including examples of types of reports and internal quality control findings.
5. Approach to DOM's communications (verbal and written) with contract management/staff
6. Procedures to ensure accuracy of all deliverables and major activities. The schedule should allow a minimum of ten (10) work days for DOM approval of each submission or re-submission of each deliverable.
7. Management of performance standards
8. Identified and/or anticipated problem areas and the approach to managing these areas, including loss of key personnel, loss of technical personnel, etc.
9. Risk assessment and plan for management of potential and actual problems.
10. Internal quality control monitoring procedures that provide for on-going review and assessment of all project activities, monitoring and evaluation the services rendered according to the RFP and the process to effect improvements as needed. The Contractor must generate quarterly progress reports (based on these internal quality control procedures) and make available reports for DOM monitoring purposes.

## **5.8 WORK PLAN AND SCHEDULE**

The Work Plan and Schedule should provide a description of the deliverables to be provided along with a detailed work plan identifying how the major tasks are to be accomplished and each individual performing those tasks. The work plan must include all responsibilities and deliverables outlined previously in this RFP. A Work Breakdown Schedule should supplement the work plan.

The work plan should show the overall design of the project in response to achieving all components and deliverables of the RFP and must include, at a minimum:

1. The assumptions and/or constraints identified by the Offeror in developing the work plan.
2. A Gantt chart or similar 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.
3. The personnel responsible for each task and subtask should be documented as well.
4. The schedule should allow a minimum of five (5) business days for DOM review of each submission and/or re-submission of each deliverable.

## **6.0 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 one hundred eighty (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/Cost Proposal shall include only the following:

1. A detailed worksheet by line item of all costs as it pertains to the Contractor Responsibilities and Deliverables as found in Section 1.0 of the RFP.
2. The budget summary provided in Appendix A must be signed and dated by an authorized corporate official.
3. 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 will be rejected. Proposals that contain any material other than the above will be rejected.

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## **7 PROPOSAL EVALUATION**

### **7.1 GENERAL**

An evaluation committee comprised of DOM staff will be established to judge 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 extensive 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.

A maximum of 1,000 points will be available for each proposal which shall be comprised of a technical and a business/cost 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 phases. The Procurement Officer will complete Phase One, the technical proposal evaluation committee will complete Phase Two, and the business/cost 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 Medicaid based on the results of the evaluation. The fifth phase is the award decision of the Executive Director.

At its option, the State may request an interview from Contractors in a competitive range in the evaluation. Contractors 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 Contractor.

#### **7.2.1 Phase One - Evaluation of Bidders' Response to RFP**

In this phase, the Procurement Officer reviews each proposal to determine if each proposal complies with the instructions to bidders 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 Two - Evaluation of Technical Proposal**

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

Any technical proposal that is incomplete or has significant inconsistencies or inaccuracies may be rejected. DOM reserves the right to waive minor variances or reject any or all proposals. In addition, DOM reserves the right to request clarifications or enter into discussions with all Offerors.

The evaluation committee will review each proposal to determine if it sufficiently addresses all of the RFP requirements and the Offeror has developed a specific approach to meeting each requirement.

Maximum number of points that may be awarded for the technical evaluation is 700.

Maximum Points per Section

Corporate Background and Experience	100
Organization and Staffing	125
Methodology	200
Project Management	175
<u>Work Plan and Schedule</u>	<u>100</u>
Total Points	700

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 70% will not be considered for the Business/Cost evaluation or contract award.

Technical proposal evaluations may be adjusted based on information gathered during the oral presentations, if held.

**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.
6. Any sanctions, contract terminations or non-renewals within the past five (5) years.

**7.2.2.3 Project 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 curriculum vitae or resumes of staff and their qualifications for the positions they will hold, 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 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;
2. Data management plans including data needs;
3. Plans to ensure coordination of program design with DOM and others;
4. Processes for maintaining confidentiality of protected health information;
5. Processes for development and submission of required deliverables; and
6. Scope of services provided through partnerships or subcontractors.

#### **7.2.2.5 Project Management**

Each Offeror's proposal will be evaluated to determine if the Offeror understands the requirements of the services to be provided. Specifically, the committee will evaluate, at a minimum, the following:

1. Tasks to be accomplished, as well as the method of accomplishment, identification of staff responsible for each one, time required for their accomplishment, and assistance (if any) required by DOM;
2. Approach to the management of the project to determine the ability to keep the project on target and to ensure that the requested services are provided;
3. Processes to control the project and ensure, on an on-going basis, that all requests are being met and that the Offeror is able to identify and resolve problems which occur;
4. Methods for estimating and documenting personnel hours spent by staff on project activities are sound and fair;
5. 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;
6. Identification of problems and risks with proposed plans to correct and methods that will be used for ongoing assessments; and
7. Processes to ensure performance measures are met and the internal control reporting processes for notification and correction.

#### **7.2.2.6 Work Plan and Schedule**

The committee will review and evaluate the work plan and schedule to determine if all tasks are included and if, for each task, a timeline and 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 Three - Evaluation of Business/Cost Proposal**

Only those proposals considered for Phase 2 will be considered for Phase Three. Three hundred (300) points will be awarded to the lowest and best acceptable bid. 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.

In the event that there are two or more proposals, a maximum of three hundred (300) points will be assigned to the lowest acceptable proposal. Points for each proposal will be assigned using the formula:

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

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

DOM reserves the right to waive minor variances or reject any or all proposals.

### **7.3 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.

### **7.4 INTENT TO AWARD NOTICE**

The notice of intended contract award shall be sent by mail, email or fax to all Offerors.

### **7.5 STATE APPROVAL**

Approval from the Personal Services Contract Review Board must be received before the contract is signed, which is final approval. Every effort will be made by DOM, both before and after selection, to facilitate rapid approval.

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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.

Budget Summary Preadmission Screening and Resident Review Administration RFP #20110902					
Offeror:					
	<b>SFY2012</b>	<b>SFY2013</b>	<b>SFY2014</b>	<b>SFY2015</b>	
	01/01/2012 to 06/30/2012	07/01/2013 to 06/30/2013	07/01/2014 to 06/30/2014	07/01/2014 to 12/31/2014	<b>Total</b>
<b>Implementation Cost</b>					
<b>Cost per Review</b>					
<b>Operations Cost</b>					
<b>Total Contract Price</b>					
I certify that I am legally obligating the above named Offeror to the conditions of this contract.					
Signature:			Date:		
Printed Name:			Title:		

## 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;

"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).

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

**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