



CALIFORNIA CORRECTIONAL HEALTH CARE SERVICES



CALIFORNIA MULTIPLE AWARD SCHEDULE (CMAS)

STATE OF CALIFORNIA
DEPARTMENT OF CORRECTIONS AND REHABILITATION

REQUEST FOR OFFER

LEVERAGED PROCUREMENT AGREEMENT
INFORMATION TECHNOLOGY CONSULTING SERVICES
PROJECT MANAGEMENT
RFO #13-009-ITS

December 12, 2013

The California Department of Corrections and Rehabilitation (CDCR), California Correctional Health Care Services (CCHCS), is requesting offers for a Technical Project Manager (PM) to provide expertise during the development and implementation of the Electronic Health Record System (EHRS).

The proposed term of the ensuing Agreement is January 13, 2014, through January 12, 2017. All offers must be signed by an authorized officer of the company or firm who has legal and binding authority. By submitting an offer, your firm agrees to the terms and conditions stated in this Request for Offer (RFO) and in accordance with your authorized Leveraged Procurement Agreement (i.e. CMAS contract).

Offers are due by **3:00 p.m., Friday, December 26, 2013**. Responses and any required copies must be submitted by electronic mail and clearly labeled to the department contact noted below.

Department Contact:
CCHCS – IT Acquisitions
BJ Singh
(916) 691-5783
bj.singh@cdcr.ca.gov

RESPONSE GUIDELINES

This RFO, Offeror's response, the State's General Provisions - Information Technology CMAS, effective August 2010 ([GSPD-401IT-CMAS](#)), and applicable IT Services Special Provisions will be made part of the ordering department's Purchase Order and/or procurement contract file.

Offers must be submitted electronically to the departmental contact address noted on page 1. All pages of Offeror's response received prior to due date and time will be considered. CCHCS is not responsible for any e-mail loss and/or failure to receive an Offeror's response. CCHCS assumes no responsibility if Offeror cannot transmit their response electronically to the departmental e-mail address and/or if the entire response is not received prior to RFO due date.

The delivery of any offer via U.S. mail, private delivery service, and/or by personal service will not be accepted by CCHCS. In the event of such delivery, CCHCS shall consider the offer as non-responsive.

Offers submitted in response to this RFO must include all of the following information:

1. An individual who is authorized to bind the proposing firm contractually shall sign the Offer Certification Sheet (Attachment A). The signature must indicate the title and/or position that the individual holds in the firm. An unsigned proposal may be rejected;
2. A copy of Offeror's CMAS that includes the California Department of General Services (DGS) CMAS number, term, and DGS' signature approval;
3. Copy of Liability Insurance Certificate;

Offeror must provide CCHCS with a Certificate of Insurance showing that there is liability insurance currently in effect for Offeror of not less than \$1,000,000, per occurrence, for bodily injury and property damage liability combined. The Certificate of Insurance must include the following provisions:

- a. The insurer will not cancel the insured's coverage without 30 days prior written notice to the State; and
- b. The State of California is included as additional insured.

4. Proof of Worker's Compensation Insurance;

Offeror shall provide CCHCS with a Certificate of Insurance showing that there is current workers' compensation insurance coverage for its employees who will be engaged in performance of the requested services. The Certificate of Insurance must include provision that the insurer will not cancel the insured's coverage without 30 days prior written notice to the State.

5. Copy of valid business license;
6. Completed Rate Sheet (Attachment B), which upon award shall be made a part of the Agreement;

The ensuing Agreement shall be invoiced and reimbursed on a deliverable basis subject to completion and approval by EHRS Project Director(s) and/or designee(s), of work performed by Contractor.

7. Any modifications to the Statement of Work (SOW) of the ensuing Agreement will be defined, documented, and mutually agreed upon by Contractor and EHRS Project Director(s) and/or designee(s) may be reimbursed on a time and materials or fixed price basis as proposed via work authorization.

8. Bidder Declaration Form (GSPD-05-105);

Offerors must complete the Bidder Declaration and include it with response. When completing the declaration, Offerors must identify all subcontractors proposed for participation in the contract. Offerors awarded a contract are contractually obligated to use the subcontractors for requested services unless CCHCS agrees to a substitution via amendment to the Agreement;

The GSPD-05-105 can be found at <http://www.documents.dgs.ca.gov/pd/delegations/GSPD105.pdf>

9. Prior to award, contractors may be requested to submit additional written clarifying information (e.g., STD. 843 – Disabled Veteran Business Enterprise Declaration, etc.). Failure to submit requested information may be grounds for rejection of offer;

10. Completed Payee Data Record (STD. 204) <http://www.documents.dgs.ca.gov/pd/masters/debris/Std204.pdf>;

11. A detailed description of Contractor's approach for completing the services requested in Exhibit A - SOW, including, but not limited to: the functions, roles, and responsibilities of Contractor's proposed personnel;

12. A description of Offeror's expertise and experience (e.g., type of services rendered, projects completed, total years in business, etc.) performing services as requested in Exhibit A – SOW.

13. Resume(s) of Contractor's proposed personnel must include all of the following:

- a. All relevant work experience;
- b. A start and end date for each job cited;

14. Three (3) customer references for proposed candidates to verify engagement(s) similar in scope as requested in Exhibit A - SOW. Include a brief narrative of project description and candidate's role for each reference provided. Customer references will be used to verify information provided by Offeror and/or consultant for selection purposes (Attachment C);

15. Copies of pertinent certifications, if applicable, for the technical service requirements described in Exhibit A - SOW; and

16. Other Requirements:

Offeror's proposed staff will be required to complete the following documents prior to execution of Agreement.

Do not submit the following with your response.

a. Contractor Confidentiality Statement (Attachment D):

The Political Reform Act of 1974 (Government Code Sections 81000-91015) requires consultants to file a Contractor Confidentiality Statement certifying no personal or financial interest with the project or related projects, and agreeing to keep all information concerning the project confidential.

b. Non-Disclosure Agreement (Attachment E).

c. Statement of Economic Interests (Form 700), which can be found at <http://fppc.ca.gov/index.php?id=500>.

17. Interested Offerors may submit questions and/or requests for clarification, via e-mail, to bj.singh@cdcr.ca.gov. CDCR responses to Offeror questions that provide new or additional information will be provided to all Offerors.

KEY DATES

Event	Date	Time
1. Release of RFO	12/12/13	
2. Questions Due to CCHCS	12/17/2013	2:00 p.m.
3. RFO Response Submission Due Date	12/26/2013	3:00 p.m.
4. Interview(s), if warranted	TBD	
5. Best Value Determination-Selection of Vendor	1/3/2014	
6. Proposed Contract Start Date	1/13/2014	

SELECTION PROCESS

All offers will be reviewed for responsiveness to requirements of the RFO. If a response is missing required information, it may be deemed non-responsive. Responsive offers will be scored on the “Best Value” criteria listed below. Further review is subject to CCHCS' discretion.

CCHCS' evaluation process is based on an industry best practice technique called progressive filtering. The process steps are as follows:

1. Review Offers to Administrative Criteria;
 - a. Responses are reviewed to ensure the submitted offer contains all administrative sections required for contract purposes (e.g. Cover Letter, Rate Sheet, Payee Data, etc.).
2. Evaluate Offers Based on Technical and Administrative Criteria;
 - a. Offers are scored against Technical and Administrative RFO requirements.
 - b. This step results in a Preliminary Technical score and Preliminary Administrative score.
3. Rank and Select Best Offers;
 - a. The Technical score (i.e., contractor/consultant qualifications, experience, etc.) and Administrative score are used to select the best two to four offers.
4. Schedule and Perform Candidate Interviews (optional);
 - a. The candidate interviews are used to refine and validate assessed Technical and Administrative scores.
 - b. This step results in Final Technical and Administrative scores.
5. Review Offer's Proposed Cost; and
 - a. Lowest cost proposal will receive full cost points and each proposal with higher cost will receive a percentage of total points.
6. Determine Best Value.
 - a. Reference checks are performed at the discretion of the evaluation team.

CCHCS may enter into contract negotiations at this time including, but not limited to, rate/cost negotiation.

Best Value Criteria	
Technical Criteria:	50 Points
1. Ten years (full time equivalent) public sector and/or State of California project management experience on at least three large scale information technology projects. Large scale is defined as 2,000 or more users and a total project cost of \$20 million or more. At least two of these projects must involve systems integration of Commercial-off-the-Shelf (COTS) software;	0-10
2. Five years technical experience in multi-tier systems architecture including external interfaces, networks, storage and servers;	0-10
3. Five years experience identifying risks and issues, and ability to provide mitigation and contingency plans;	0-10
4. Five years public sector (i.e., city, county, or federal) and/or State of California project experience on more than one Information Technology (IT) Commercial-off-the-Shelf (COTS) system project;	0-5
5. Experience briefing/reporting project management status from project-level to department director-level management;	0-5
6. Five years experience in an IT healthcare department in either the government or private sector; and	0-5
7. Experience working in support of third-party vendor and remotely-hosted platforms.	0-5
Administrative Criteria:	15 Points
1. Completeness of response package;	0-5
2. Detailed resume for proposed consultant describing work experience, start and end-date for job(s) cited, and professional qualification(s) and/or experience(s) performing IT services relative to Exhibit A – SOW; and	0-5
3. Three customer references for Offeror verifying engagements similar in scope to Exhibit A - SOW.	0-5
Cost:	25 Points
1. Lowest cost proposal will receive full cost points and each proposal with higher cost will receive a percentage of total points.	0-25

CCHCS reserves the right to reject any and all offers, and reissue this RFO. The awarded Contractor will be required to provide services at the rate offered in the Rate Sheet (Attachment B), which under no circumstances may exceed their authorized CMAS rate(s).

EXHIBIT A STATEMENT OF WORK

A. BACKGROUND AND PURPOSE

The State of California's prison medical system was placed into Receivership by United States District Court Judge, Thelton E. Henderson, as a result of a 2001 class action lawsuit brought against the State of California over the quality of medical care in the State's prison system. The Court found that the medical care was a violation of the Eighth Amendment of the U.S. Constitution, which forbids cruel and unusual punishment of the incarcerated.

All activities of the Receivership have one common purpose: to create a collaborative environment where custody and health care staff improve upon the quality of medical services in California prisons in order to meet constitutional standards while reducing avoidable morbidity and mortality. The Receiver has adopted six goals that are necessary for the California Department of Corrections and Rehabilitations (CDCR) health care program to rise to constitutionally acceptable and sustainable levels. The goals are: 1) ensure timely access to health care services; 2) establish a prison medical program addressing the full continuum of health care services; 3) recruit, train and retain a professional quality medical workforce; 4) implement a quality assurance and continuous improvement program; 5) establish medical support infrastructure; and 6) provide for necessary clinical, administrative, and housing facilities.

The above goals encompass key aspects of CDCR's health care delivery system and the Receiver has initiated organizational changes to improve medical, nursing, mental health, and dental programs. California Correctional Health Care Services (CCHCS) has embarked on a number of information technology (IT) projects to support the Receiver's efforts in raising the level of patient-inmate health care to constitutional standards. Some of these solutions include, but are not limited to, Health Care Scheduling and Tracking System (HCSTS), Mental Health Tracking System (MHTS) and Electronic Unit Health Record System/Health Information Management (eUHR/HIM).

CCHCS has contracted with a commercial-off-the-shelf (COTS) vendor to design, install, configure, implement, and manage an integrated EHR for CDCR's thirty-five (35) adult institutions statewide. EHR Contractor is using their established project implementation methodology that CCHCS has agreed to follow.

Given the complexities of EHR, CCHCS is seeking a Technical Project Manager to guide the EHR project during the development and implementation phase.

Contractor will report to the EHR Project Director(s), and/or designee.

B. CONTRACTOR QUALIFICATIONS

Contractor's proposed personnel must meet the Mandatory Qualifications to be considered for award. Contractor's proposed personnel will be evaluated on expertise and experience stated in the resume against the mandatory qualifications. At the discretion of CCHCS, interviews may be a part of the selection process.

Mandatory Qualifications:

1. Ten years (full time equivalent) public sector and/or State of California project management experience on at least three large scale information technology projects. Large scale is defined as 2,000 or more users and a total project cost of \$20 million or more. At least two of these projects must involve systems integration of Commercial-off-the-Shelf (COTS) software;
2. Five years technical experience in multi-tier systems architecture including external interfaces, networks, storage and servers;
3. Five years experience identifying risks and issues, and ability to provide mitigation and contingency plans;
4. Five years public sector (i.e., city, county, or federal) and/or State of California project experience on more than one Information Technology (IT) Commercial-off-the-Shelf (COTS) system project;
5. Experience briefing/reporting project management status from project-level to department director-level management;
6. Five years experience in an IT healthcare department in either the government or private sector; and
7. Experience working in support of third-party vendor and remotely-hosted platforms.

Desirable Qualifications:

1. Experience with any city, county, state, private, or federal correctional organization;
2. Experience in health care project management activities; and
3. Ability to work independently or in a group.

C. CONTRACTOR ROLES AND RESPONSIBILITIES

With prior approval from the EHRIS Project Director(s), and/or designee, Contractor shall perform all of the following tasks and deliverables:

1. Requirements and Design Management;

- Evaluate and make recommendations on all changes to technical and functional requirements;
- Evaluate and make recommendations on all project technical designs and implementation procedures; and
- Review and provide written comments on all EHRIS Detailed Design Documents (DDD), Data Collection Workbooks (DCW), and Configuration Build Guide (CBG).

Specific Deliverables(s)

1. Monthly written report detailing evaluations completed, recommendations made on changes to technical and functional requirements, project technical designs, implementation procedures, and details of any reviews and/or written comments on DDDs, DCWs, and CBG.
2. **Technical Project Management Template;**
 - Based on the existing Monthly Project Status template, develop a Technical Project Management template detailing major technical project activities, staffing status, schedule status, issues, risks, and mitigations.

Specific Deliverables(s)

1. Monthly updates of the Technical Project Management template detailing major technical project activities, staffing status, schedule status, issues, and risks and mitigations.

3. Status Reporting(s):

- Update Monthly Project Status template;
- Develop and present technical findings for schedule, resources, issues, risks and mitigations during the Monthly Project Status review;
- Monthly status report, to include, but is not be limited to all of the following:
 - Meetings attended, presentations delivered, and completed assignments;
 - Activities planned for the coming month; and
 - Observations and recommendations.

Specific Deliverables(s)

1. Written monthly report, due five working days after the start of the next month, detailing project status; (i.e. technical findings for schedule, resources, issues, risks, monthly activities, meetings attended, and plans for the coming month).

4. Quarterly Report:

- Contractor(s) shall submit a Quarterly Report detailing project status and health including, but not limited to: cost, schedule, risks, issues, process deficiencies, and lessons learned;
- The Quarterly Report must include, at a minimum, an assessment of technical risks that may prevent project success or negatively impact the project schedule; and
- Each report must address:
 - An assessment and recommended improvement(s), as needed, to ensure continuous executive stakeholder buy-in, participation, support and commitment;
 - Measures to ensure open pathways of communications exist among all technical and IT stakeholders, specifically Headquarters and institution IT management and staff; and
 - An update of all approved changes that impact EHRS project objectives, requirements, cost, resources or schedule.

Specific Deliverable(s)

1. First (1st) quarter 2014 Report (due April 14, 2014);
2. Second (2nd) quarter 2014 Report (due July 14, 2014);
3. Third (3rd) quarter 2014 Report (due October 13, 2014);
4. Fourth (4th) quarter 2014 Report (due January 12, 2015);
5. First (1st) quarter 2015 Report (due April 13, 2015);
6. Second (2nd) quarter 2015 Report (due July 13, 2015);
7. Third (3rd) quarter 2015 Report (due October 14, 2015);
8. Fourth (4th) quarter 2015 Report (due January 12, 2016);

9. First (1st) quarter 2016 Report (due April 14, 2016);
10. Second (2nd) quarter 2016 Report (due July 14, 2016);
11. Third (3rd) quarter 2016 Report (due October 13, 2016);
12. Fourth (4th) quarter 2016 Report (due January 12, 2017).

5. Final Report; and

Upon completion of the contract, Contractor shall submit a Final Report to the EHRS Project Director(s) to include, but is not limited to, project activities, accomplishments, budget summary, lessons learned, and suggestions/recommendations for developing and/or improving ongoing maintenance and support. The Final Report shall summarize all activities, tasks, results, anomalies, and dispositions.

Specific Deliverable(s)

1. Final report using EHRS template due two weeks after contract end date.

6. Administrative Tasks.

Contractor shall perform administrative tasks as requested and approved by EHRS Project Director(s), and/or designee. Administrative tasks shall be defined in a Deliverable Expectations Document (DED) that includes estimated number of hours and costs, and is mutually agreeable to both parties.

Deliverable

1. Completed deliverables.
7. Work with EHRS Project Director(s), and/or designee(s), to ensure that any issue(s) are addressed;
8. Participate in meetings, working sessions, status reporting (written and verbal), presentations, and general communication(s) to ensure success of consultant activity performance;
9. Return all State property, including but not limited to: security badge(s), laptop, work products, etc., prior to termination of Agreement;

D. ACCEPTANCE CRITERIA

Payment for tasks performed under the ensuing Agreement shall be by deliverables. It shall be the CCHCS' sole determination as to whether a deliverable has been successfully completed and is acceptable. Signed acceptance is required from the CCHCS Project Manager, before processing an invoice for payment via a Deliverable Acceptance Document (DAD).

E. EVALUATION OF CONTRACTOR

The CCHCS Project Manager will be the sole judge of the acceptability of all work performed and all work products produced by the Contractor as a result of this SOW. Should the work performed or the products produced by the Contractor fail to meet minimum conditions, requirements or other applicable standards, specifications, or guidelines, the following resolution process will be employed except as superseded by other binding processes:

1. The CCHCS Project Manager will notify the Contractor in writing within five business days after completion of each phase of service of any acceptance problems by identifying the specific inadequacies and/or failures in the services performed and/or the products produced by the Contractor.
2. The Contractor will, within five business days after initial problem notification, respond to the CCHCS Project Manager by submitting a detailed explanation describing precisely how the identified services and/or products actually adhere to and satisfy all applicable requirements, and/or a proposed corrective action plan to address the specific inadequacies and/or failures in the identified services and/or products. Failure by the Contractor to respond to the CCHCS' initial problem notification within the required time limits may result in immediate contract termination. In the event of such termination, the CCHCS shall pay all amounts due to the Contractor for all work accepted prior to termination.
3. The CCHCS will, within five business days after receipt of the Contractor's detailed explanation and/or proposed corrective action plan, notify the Contractor in writing whether it accepts or rejects the explanation and/or plan. If the CCHCS rejects the explanation and/or plan, the Contractor will submit a revised corrective action plan within three business days of notification of rejection. Failure by the Contractor to respond to the CCHCS' notification of rejection by submitting a revised corrective action plan within the required time limits may result in immediate contract termination. In the event of such termination, the CCHCS shall pay all amounts due to the Contractor for all work accepted prior to termination.

The CCHCS will, within three business days of receipt of the revised corrective action plan, notify the Contractor in writing whether it accepts or rejects the revised corrective action plan proposed by the Contractor. Rejection of the revised corrective action plan will result in immediate contract termination. In the event of such termination, the CCHCS shall pay all amounts due to the Contractor for all work accepted prior to termination.

F. **PROBLEM ESCALATION**

The parties acknowledge and agree that certain technical and project related problems or issues may arise and that such matters shall be brought to the CCHCS Project Manager's attention. Problems or issues shall normally be reported in regular status reports. However, there may be instances where the severity of the problems justifies escalated reporting. To this extent, the CCHCS Project Manager will determine the level of severity and notify the appropriate CCHCS personnel. The CCHCS personnel notified and the time period taken to report the problem or issue shall be at a level commensurate with the severity of the problem or issue. The CCHCS personnel include, but are not limited to the following:

- First level, the CCHCS Project Manager
- Second level, EHRIS Project Director(s)

G. **ASSUMPTIONS AND CONSTRAINTS**

1. Work hours for the ensuing Agreement must be consistent with CCHCS' normal business hours 8:00 a.m. to 5:00 p.m., Monday through Friday, excluding State holidays.
2. No overtime pay will be authorized for non-standard work hours.
3. Contractor shall ensure availability of staff to perform the requirements of the ensuing Agreement at all times during the period described above.
4. The work location will be at CCHCS' Headquarters located in Elk Grove, California, or at

another designated location within the greater Sacramento area.

5. Any modifications to the SOW of the ensuing Agreement will be defined, documented, and mutually agreed upon by Contractor and EHRS Project Directors and/or designee(s).
6. Contractor must submit, in advance, a resume of all personnel substitutions. All Contractor personnel substitutions must be approved by EHRS Project Directors and/or designee(s) prior to substituted personnel commencing work.
7. CCHCS, in its sole discretion, reserves the right to require Contractor to substitute personnel, reduce, or cancel a consultant's performance of services at any time.
8. CCHCS reserves the right to renegotiate services deemed necessary to meet the needs of the project according to State priorities. CCHCS and Contractor shall mutually agree to all changes.
 - Work Authorization

Either party may at any time propose a change to SOW. If Contractor believes that such change will increase Contractor's costs or delay completion, the parties will negotiate in good faith to try to accommodate such request. Contractor will price any additional fees, at CCHCS' option, based on fixed cost per deliverable. Contractor will disclose and explain to CCHCS its method of pricing a change order. At CCHCS' request, the parties will use project estimation tools to aid in determining pricing and to ensure that it is competitive in the marketplace. No change will be effective unless and until set forth in a written amendment to the Agreement, which is approved and signed by the parties. Any agreed upon modifications will be performed by Contractor in accordance with the amendment and Agreement provisions. Any failure to agree to a proposed change will not impair the enforceability of other Agreement terms or in SOW.
9. CCHCS and Contractor are mutually obligated to keep open channels of communications to ensure successful performance of the ensuing Agreement. Both parties are responsible for communicating any potential problem(s) or issue(s) to EHRS Project Director, and/ or designee(s), and the Contractor, respectively, within one business day of becoming aware of said problem(s).
10. Contractor certifies that it has appropriate systems and controls in place to ensure that State funds will not be used in performance of the ensuing Agreement for the acquisition, operation, or maintenance of computer software in violation of copyright laws.

H. **CCHCS ROLES AND RESPONSIBILITIES**

1. The CCHCS will designate a person to whom all Contractor communications may be addressed and who has the authority to act on all aspects of the services. This person will review the SOW and associated documents with the Contractor to ensure understanding of the responsibilities of both parties.
2. The CCHCS will provide accommodations at CCHCS Headquarters in Elk Grove, California, or at another designated location in the greater Sacramento area. Accommodations may include a desk, telephone, computer hardware, and software necessary for work performance for the duration of the Agreement. All policies and procedures regarding the use of State facilities will be applicable.
3. The CCHCS may provide Contractor access to applicable files, reports, contracts, documents, and other relevant information.

4. The CCHCS will provide timely review and approval of the Contractor information and documentation provided by the Contractor in order for the Contractor to perform its obligations under this SOW.
5. CCHCS will be responsible to monitor and review services as invoiced.
6. CCHCS will provide staff availability for consultation meetings.
7. Provision of clerical or other support staff is strictly at the discretion of CCHCS. Contractor should assume that CCHCS will not provide any assistance of a clerical nature for documents or telephone support.

I. **PERIOD OF PERFORMANCE**

The anticipated term of the ensuing Agreement will be January 13, 2014, through January 12, 2017.

J. **TERMINATION**

Notwithstanding provisions #21, #22, and #23 of the State's General Provisions – IT (GSPD 401-IT CMAS, effective August 2010), CCHCS reserves the right to terminate the ensuing Agreement immediately with or without cause.

K. **CCHCS CONTRACT MANAGER**

Kathryn Curtis, Special Consultant
Electronic Health Record System
California Correctional Health Care Services
P.O. Box 588500
Elk Grove, CA 95758

EXHIBIT B
BUDGET DETAIL AND PAYMENT PROVISIONS

A. INVOICING AND PAYMENT

1. For services satisfactorily rendered, and upon receipt and approval of the invoices, the State agrees to compensate the Contractor for actual expenditures incurred in accordance with the rates specified in the Bid/Rate Sheet, which is attached hereto and made a part of the ensuing Agreement.
2. All invoices shall be submitted with supporting documentation that properly details all charges, expenses, and direct costs. All invoices submitted by Contractor to CCHCS must identify the Purchase Order and Agreement numbers.
 - Any invoices submitted without the above referenced information may be returned to Contractor for revision(s).

Contractor shall address and submit all invoices to the following:
California Correctional Health Care Services
Attn: Josie Proverbs – IT Acquisitions, Building D
P.O. Box 588500
Elk Grove, CA 95757

B. BUDGET CONTINGENCY CLAUSE

1. It is mutually agreed that if the California State Budget Act for the current fiscal year and/or any subsequent fiscal years covered under the ensuing Agreement does not appropriate sufficient funds for the project, the ensuing Agreement shall be of no further force and effect. In this event, the State shall have no liability to pay any funds whatsoever to Contractor, or to furnish any other considerations under the ensuing Agreement and Contractor shall not be obligated to perform any provisions of the Agreement.
2. If funding for purposes of this project is reduced or deleted for any fiscal year by the California State Budget Act, the State shall have the option to either cancel the Agreement with no liability occurring to the State, or offer an Agreement amendment to Contractor to reflect the reduced amount.

C. PROMPT PAYMENT CLAUSE

Payment will be made in accordance with, and within the time specified in, Government Code Chapter 4.5, commencing with Section 927. Payment to small/micro businesses shall be made in accordance with and within the time specified in Chapter 4.5, Government Code 927 et seq.

D. SUBCONTRACTOR

For all Agreements, with the exception of Interagency Agreements and other governmental entities/auxiliaries that are exempt from bidding, nothing contained in the Agreement, or otherwise, shall create any contractual relation between the State and any subcontractors, and no subcontract shall relieve Contractor of contractor's responsibilities and obligations hereunder. Contractor agrees to be as fully responsible to the State for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the Contractor.

The Contractor's obligation to pay its subcontractors is an independent obligation from the State's obligation to make payments to the Contractor. As a result, the State shall have no obligation to pay or to enforce the payment of any moneys to any subcontractor.

E. **TRAVEL REIMBURSEMENT**

[X] The following does not apply to this Agreement

A. Pursuant to the terms established in the ensuing agreement, travel reimbursement may not exceed the rates, terms, and conditions that apply to comparable State employees, in accordance with travel rules and regulations, as specified in California Code of Regulations, Title 2, Division 1, Chapter 3, and/or regulations of the California Department of Personnel Administration (DPA), specifically Sections 599.619 through 599.631.

F. **CAL-Card PAYMENTS**

[X] The following does not apply to this Agreement

Upon receipt of an itemized invoice, in arrears, stating the goods/services provided, time period covered, detailed costs and the contract number, the Contract Manager will notify the Contractor of payment authorization.

The Contractor will provide the Contract Manager a copy of the itemized, transaction receipt showing payment was received, the invoice, the contract number and the CAL-Card card verification number charged.

Contractor to send invoices to:

- . Name, mailing address and phone number of the Contract Manager/Cardholder.
- . Name, mailing address and phone number of Contractor payment authorization contact.

G. **EMPLOYEE BENEFITS AND WAGE REPORTING REQUIREMENTS**

[X] The following does not apply to this Agreement

Effective July 1, 2003 Government Code Section 19134 was amended to require contracts for janitorial, housekeeping services, custodians, food service workers, laundry workers, window cleaners, and security guards ("covered services") to include provisions for employee wages to be no less than 85% of the value of wages and benefits provided to State employees for performing similar duties. Contractor must pay no less than the following:

- Hourly Rate:
- Blended Benefit Rate:

Also, applicable to subcontractors providing these services in state-leased facilities where the facility is at least 50,000 square feet in area and the state leases all of the occupied floor space, of the facility.

“Employee benefits” means either 1) health, dental, vision, holiday pay, vacation and retirement (either through a purchased plan or self insurance); 2) cash-in-lieu payments; or 3) a combination of actual benefits and cash-in-lieu payments.

- A. Contractors must indicate on their Rate Sheet, Exhibit B-2, whether they will be providing the required benefits either through a purchase plan or by self-insurance or making ‘in-lieu’ payments to employees. Contractors choosing to offer employee benefits must provide coverage prior to commencement of work.
- B. Contractor can meet the “employee benefits” and 85% wage requirement by:
 - 1. Providing “employee benefits” and wages costing not less than 85% of the State cost for employees doing similar work, or
 - 2. Cash payment in lieu of providing benefits, in an amount not less than 85% of the State cost for employees doing similar work, or
 - 3. A combination of employee benefits and cash payments totaling not less than 85% of the State cost for employee benefits for a State of California employee performing similar work, in addition to at least 85% of State wages.
- C. Qualifying contracts and documents relating to implementing Government Code 19134 may be audited by the contracting State agency, the Department of General Services and the Bureau of State Audits.
- D. Government Code 19134(e) provides that failure to provide employee benefits or cash payments to employees constitutes a ‘material breach’ for any contract for personal services covered by that section. A breach can result in immediate contract termination by the State.

Contractor acknowledges that failure to comply with the provisions of GC Section 19134 will be deemed a material breach of this Agreement, which could subject the Agreement to immediate termination at the State’s sole discretion.

Effective March 17, 2004 Government Code 19134 was amended to exclude employee wages and benefits provision for personal services contracts performed by employees of nonprofit organizations that are employed in accordance with any of the following:

- 1. A special license issued pursuant to Section 1191.5 of the Labor Code.
- 2. A special certificate issued pursuant to Section 214 of Title 29 of the United States Code.
- 3. A community rehabilitation plan described in Sections 19152 and 19404 of the Welfare and Institutions Code.
- 4. A rehabilitation services program as described in Sections 19352 and 19356.6 of the Welfare and Institutions Code.

Every employee performing ‘covered services’ under this Agreement shall receive the applicable rate corresponding to the total number of hours each employee works (excluding overtime). There is no minimum number of work hours required in order to qualify for GC Section 19134 benefits. Only employees performing ‘covered services’ shall receive such benefits; administrative, solely supervisory, or other support personnel are not covered.

Should the Department of Human Resources (CalHR) post a rate change during the term of this Agreement, this Agreement shall be amended to reflect the new benefit rate(s) to be paid to the Contractor’s covered employees. The amendment shall be retroactive to the date the rate change is posted by CalHR.

H. PROGRESS PAYMENTS

[] The following does not apply to the ensuing Agreement

Progress payments are permitted for tasks completed under this contract. Ten percent of the invoiced amount may be withheld pending final completion of each task. Any funds withheld with regard to a particular task may be paid upon completion of that task.

I. PROGRESS REPORTS

[] The following does not apply to the ensuing Agreement

Contractor shall submit progress reports to State representative, as required, describing work performed, work status, work progress, difficulties encountered, remedial action, and statement of activity anticipated subsequent to reporting period for approval prior to payment of invoices. Contractor to be reimbursed by invoicing, in detail, all costs and charges with contract number and sending to designated address.

**EXHIBIT B-1
RATE SHEET**

The Contractor's Rate Sheet (Attachment B) will be made a part of the agreement.

EXHIBIT C
CCHCS SPECIAL PROVISIONS

1. ACCOUNTING PRINCIPLES

The Contractor will adhere to generally accepted accounting principles as outlined by the American Institute of Certified Public Accountants. Dual compensation is not allowed; a Contractor cannot receive simultaneous compensation from two or more funding sources for the same services performed even though both funding sources could benefit.

2. SUBCONTRACTOR/CONSULTANT INFORMATION

Contractor is required to identify all subcontractors who will perform labor or render services in the performance of the Agreement. Additionally, the Contractor shall notify the EHRS Project Director(s), and/or designee(s) within ten working days, of any changes to the subcontractor and/or consultant information.

3. EMPLOYMENT OF EX-OFFENDERS

a. Contractor cannot and will not either directly, or via a subcontracted consultant and/or firm, employ in connection with this Agreement:

- (1) Ex-Offenders on active parole or probation;
- (2) Ex-Offenders at any time if they are required to register as a sex offender pursuant to Penal Code Section 290 or if such ex-offender has an offense history involving a “violent felony” as defined in subparagraph (c) of Penal Code Section 667.5; or
- (3) Any ex-felon in a position which provides direct supervision of parolees.

b. Ex-Offenders who can provide written evidence of having satisfactorily completed parole or probation may be considered for employment by the Contractor subject to the following limitations:

- (1) Contractor shall obtain the prior written approval to employ any such ex-offender from the Authorized Administrator; and
- (2) Any ex-offender whose assigned duties are to involve administrative or policy decision-making; accounting, procurement, cashiering, auditing, or any other business-related administrative function shall be fully bonded to cover any potential loss to the State of California.

4. LICENSES AND PERMITS

The Contractor shall be an individual or firm licensed to do business in California and shall obtain at Contractor’s expense all license(s) and permit(s) required by law for accomplishing any work required in connection with this Agreement.

In the event any license(s) and/or permit(s) expire at any time during the term of this Agreement, Contractor agrees to provide the CCHCS with a copy of the renewed license(s) and/or permit(s) within thirty (30) days following the expiration date. In the event the Contractor fails to keep in effect at all times all required license(s) and permit(s), the State may, in addition to any other remedies it may have, terminate this Agreement upon occurrence of such event.

5. CONFLICT OF INTEREST

The Contractor and their employees shall abide by the provisions of Government Code (GC) Sections 1090, 81000 et seq., 82000 et seq., 87100 et seq., and 87300 et seq., Public Contract Code (PCC) Sections 10335 et seq. and 10410 et seq., California Code of Regulations (CCR), Title 2, Section 18700 et seq. and Title 15, Section 3409, and the Department Operations Manual (DOM) Section 31100 et seq. regarding conflicts of interest.

a. Contractors and Their Employees

Consultant Contractors shall file a Statement of Economic Interests, Fair Political Practices Commission (FPPC) Form 700 prior to commencing services under the Agreement, annually during the life of the Agreement, and within thirty days after the expiration of the Agreement. Other service Contractors and/or certain of their employees may be required to file a Form 700 if so requested by the CCHCS or whenever it appears that a conflict of interest may be at issue. Generally, service Contractors (other than consultant Contractors required to file as above) and their employees shall be required to file an FPPC Form 700 if one of the following exists:

- (1) The Agreement service has been identified by the CDCR as one where there is a greater likelihood that a conflict of interest may occur;
- (2) The Contractor and/or Contractor's employee(s), pursuant to the Agreement, makes or influences a governmental decision; or
- (3) The Contractor and/or Contractor's employee(s) serves in a staff capacity with the CDCR and in that capacity participates in making a governmental decision or performs the same or substantially all the same duties for the CDCR that would otherwise be performed by an individual holding a position specified in the CDCR's Conflict of Interest Code.

b. Current State Employees

- (1) No officer or employee shall engage in any employment, activity, or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any state agency, unless the employment, activity or enterprise is required as a condition of regular state employment.
- (2) No officer or employee shall contract on his or her own behalf as an independent Contractor with any state agency to provide goods or services.
- (3) In addition to the above, CDCR officials and employees shall also avoid actions resulting in or creating an appearance of:
 - (a) Using an official position for private gain;
 - (b) Giving preferential treatment to any particular person;
 - (c) Losing independence or impartiality;
 - (d) Making a decision outside of official channels; and
 - (e) Affecting adversely the confidence of the public or local officials in the integrity of the program.
- (4) Officers and employees of the Department must not solicit, accept or receive, directly or indirectly, any fee, commission, gratuity or gift from any person or business organization doing or seeking to do business with the State.

c. Former State Employees

- (1) For the two year period from the date he or she left State employment, no former State officer or employee may enter into an Agreement in which he or she engaged in any of the negotiations, transactions, planning, arrangements or any part of the decision-making process relevant to the Agreement while employed in any capacity by any State agency.
- (2) For the 12 month period from the date he or she left State employment, no former State officer or employee may enter into an Agreement with any State agency if he or she was employed by that State agency in a policy-making position in the same general subject area as the proposed Agreement within the 12 month period prior to his or her leaving State service.

In addition to the above, the Contractor shall avoid any conflict of interest whatsoever with respect to any financial dealings, employment services, or opportunities offered to inmates or parolees. The Contractor shall not itself employ or offer to employ inmates or parolees either directly or indirectly through an affiliated company, person or business unless specifically authorized in writing by the CDCR. In addition, the Contractor shall not (either directly, or indirectly through an affiliated company, person or business) engage in financial dealings with inmates or parolees, except to the extent that such financial dealings create no actual or potential conflict of interest, are available on the same terms to the general public, and have been approved in advance in writing by the CDCR. For the purposes of this paragraph, “affiliated company, person or business” means any company, business, corporation, nonprofit corporation, partnership, limited partnership, sole proprietorship, or other person or business entity of any kind which has any ownership or control interest whatsoever in the Contractor, or which is wholly or partially owned (more than 5% ownership) or controlled (any percentage) by the Contractor or by the Contractor’s owners, officers, principals, directors and/or shareholders, either directly or indirectly. “Affiliated companies, persons or businesses” include, but are not limited to, subsidiary, parent, or sister companies or corporations, and any company, corporation, nonprofit corporation, partnership, limited partnership, sole proprietorship, or other person or business entity of any kind that is wholly or partially owned or controlled, either directly or indirectly, by the Contractor or by the Contractor’s owners, officers, principals, directors and/or shareholders.

The Contractor shall have a continuing duty to disclose to the State, in writing, all interests and activities that create an actual or potential conflict of interest in performance of the Agreement.

The Contractor shall have a continuing duty to keep the State timely and fully apprised in writing of any material changes in the Contractor’s business structure and/or status. This includes any changes in business form, such as a change from sole proprietorship or partnership into a corporation or vice-versa; any changes in company ownership; any dissolution of the business; any change of the name of the business; any filing in bankruptcy; any revocation of corporate status by the Secretary of State; and any other material changes in the Contractor’s business status or structure that could affect the performance of the Contractor’s duties under this Agreement.

If the Contractor violates any provision of the above paragraphs, such action by the Contractor shall render this Agreement void.

Members of boards and commissions are exempt from this section if they do not receive payment other than payment for each meeting of the board or commission, payment for preparatory time and payment for per diem.

6. DISCLOSURE

Neither the State nor any State employee will be liable to the Contractor or its staff for injuries inflicted by inmates or parolees of the State. The State agrees to disclose to the Contractor any statement(s) known to State staff made by any inmate or parolee which indicates violence may result in any specific situation, and the same responsibility will be shared by the Contractor in disclosing such statement(s) to the State.

7. SECURITY CLEARANCE/FINGERPRINTING

The State reserves the right to conduct fingerprinting and/or security clearance through the California Department of Justice, Bureau of Criminal Identification and Information (BCII), prior to award and at any time during the term of the Agreement, in order to permit Contractor and/or Contractor's employees' access to State premises. The State further reserves the right to terminate the Agreement should a threat to security be determined.

8. NOTIFICATION OF PERSONNEL CHANGES

Contractor must notify the State, in writing, of any changes of those personnel allowed access to State premises for the purpose of providing services under this Agreement. In addition, Contractor must recover and return any State-issued identification card provided to Contractor's employee(s) upon their departure or termination.

9. NON ELIGIBLE ALIEN CERTIFICATION

By signing this Agreement Contractor certifies, under penalty of perjury, that Contractor, if a sole proprietor, is not a nonqualified alien as that term is defined by the United States Code (U.S.C.) Title 8, Chapter 14, Section 1621 et seq.

The following provisions apply to services provided on departmental and/or institution grounds:

10. BLOODBORNE PATHOGENS

Provider shall adhere to California Division of Occupational Safety and Health (CAL-OSHA) regulations and guidelines pertaining to bloodborne pathogens.

11. TUBERCULOSIS (TB) TESTING

In the event that the services required under this Agreement will be performed within a CDCR institution/parole office/community based program, prior to the performance of contracted duties, Contractors and their employees who are assigned to work with inmates/parolees on a regular basis shall be required to be examined or tested or medically evaluated for TB in an infectious or contagious stage, and at least once a year thereafter or more often as directed by CDCR. Regular contact is defined as having contact with inmates/parolees in confined quarters more than once a week.

Contractors and their employees shall be required to furnish to CDCR, at no cost to CDCR, a form CDCR 7336, "Employee Tuberculin Skin Test (TST) and Evaluation," prior to assuming their contracted duties and annually thereafter, showing that the Contractor and their employees have been examined and found free of TB in an infectious stage. The form CDCR 7336 will be provided by CDCR upon Contractor's request.

12. PRIMARY LAWS, RULES, AND REGULATIONS REGARDING CONDUCT AND ASSOCIATION WITH STATE PRISON INMATES

Individuals who are not employees of the California Department of Corrections and Rehabilitation (CDCR), but who are working in and around inmates who are incarcerated within California's institutions/facilities or camps, are to be apprised of the laws, rules and regulations governing conduct in associating with prison inmates. The following is a summation of pertinent information when non-departmental employees come in contact with prison inmates.

By signing this contract, the Contractor agrees that if the provisions of the contract require the Contractor to enter an institution/facility or camp, the Contractor and any employee(s) and/or subcontractor(s) shall be made aware of and shall abide by the following laws, rules and regulations governing conduct in associating with prison inmates:

- a. Persons who are not employed by CDCR, but are engaged in work at any institution/facility or camp must observe and abide by all laws, rules and regulations governing the conduct of their behavior in associating with prison inmates. Failure to comply with these guidelines may lead to expulsion from CDCR institutions/facilities or camps.

SOURCE: California Penal Code (PC) Sections 5054 and 5058; California Code of Regulations (CCR), Title 15, Sections 3285 and 3415

- b. CDCR does not recognize hostages for bargaining purposes. CDCR has a "NO HOSTAGE" policy and all prison inmates, visitors, and employees shall be made aware of this.

SOURCE: PC Sections 5054 and 5058; CCR, Title 15, Section 3304

- c. All persons entering onto institution/facility or camp grounds consent to search of their person, property or vehicle at any time. Refusal by individuals to submit to a search of their person, property, or vehicle may be cause for denial of access to the premises.

SOURCE: PC Sections 2601, 5054 and 5058; CCR, Title 15, Sections 3173, 3177, and 3288

- d. Persons normally permitted to enter an institution/facility or camp may be barred, for cause, by the CDCR Director, Warden, and/or Regional Parole Administrator.

SOURCE: PC Sections 5054 and 5058; CCR, Title 15, Section 3176 (a)

- e. It is illegal for an individual who has been previously convicted of a felony offense to enter into CDCR institutions/facilities or camps without the prior approval of the Warden. It is also illegal for an individual to enter onto these premises for unauthorized purposes or to refuse to leave said premises when requested to do so. Failure to comply with this provision could lead to prosecution.

SOURCE: PC Sections 602, 4570.5 and 4571; CCR, Title 15, Sections 3173 and 3289

- f. Encouraging and/or assisting prison inmates to escape are a crime. It is illegal to bring firearms, deadly weapons, explosives, tear gas, drugs or drug paraphernalia on CDCR institutions/facilities or camp premises. It is illegal to give prison inmates firearms, explosives, alcoholic beverages, narcotics, or any drug or drug paraphernalia, including cocaine or marijuana.

SOURCE: PC Sections 2772, 2790, 4533, 4535, 4550, 4573, 4573.5, 4573.6 and 4574

- g. It is illegal to give or take letters from inmates without the authorization of the Warden. It is also illegal to give or receive any type of gift and/or gratuities from prison inmates.

SOURCE: PC Sections 2540, 2541 and 4570; CCR, Title 15, Sections 3010, 3399, 3401, 3424 and 3425

- h. In an emergency situation the visiting program and other program activities may be suspended.

SOURCE: PC Section 2601; CCR, Title 15, Section 3383

- i. For security reasons, visitors must not wear clothing that in any way resembles state issued prison inmate clothing (blue denim shirts, blue denim pants).

SOURCE: CCR, Title 15, Section 3171 (b) (3)

- j. Interviews with SPECIFIC INMATES are not permitted. Conspiring with an inmate to circumvent policy and/or regulations constitutes a rule violation that may result in appropriate legal action.

SOURCE: CCR, Title 15, Sections 3261.5, 3315 (3) (W), and 3177

13. CLOTHING RESTRICTIONS

While on institution grounds, Contractor and all its agents, employees, and/or representatives shall be professionally and appropriately dressed in clothing distinct from that worn by inmates at the institution. Specifically, blue denim pants and blue chambray shirts, orange/red/yellow/white/chartreuse jumpsuits and/or yellow rainwear shall not be worn onto institution grounds, as this is inmate attire. The Contractor should contact the institution regarding clothing restrictions prior to requiring access to the institution to assure the Contractor and their employees are in compliance.

14. TOBACCO-FREE ENVIRONMENT

Pursuant to Penal Code Section 5030.1, the use of tobacco products by any person on the grounds of any institution or facility under the jurisdiction of the Department of Corrections and Rehabilitation is prohibited.

15. SECURITY REGULATIONS

- a. Unless otherwise directed by the entrance gate officer and/or Contract Manager, the Contractor, Contractor's employees and subcontractors shall enter the institution through the main entrance gate and park private and nonessential vehicles in the designated visitor's parking lot. Contractor, Contractor's employees and subcontractors shall remove the keys from the ignition when outside the vehicle and all unattended vehicles shall be locked and secured while on institution grounds.
- b. Any State- and Contractor-owned equipment used by the Contractor for the provision of contract services, shall be rendered temporarily inoperative by the Contractor when not in use, by locking or other means unless specified otherwise.
- c. In order to maintain institution safety and security, periodic fire prevention inspections and site searches may become necessary and Contractor must furnish keys to institutional authorities to access all locked areas on the worksite. The State shall in no way be responsible for Contractor's loss due to fire.
- d. Due to security procedures, the Contractor, Contractor's employees and subcontractors may be delayed at the institution vehicle/pedestrian gates and sally ports. Any loss of time checking in and out of the institution gates and sally ports shall be borne by the Contractor.
- e. Contractor, Contractor's employees and subcontractors shall observe all security rules and regulations and comply with all instructions given by institutional authorities.
- f. Electronic and communicative devices such as pagers, cell phones and cameras/microcameras are not permitted on institution grounds.

- g. Contractor, Contractor's employees and subcontractors shall not cause undue interference with the operations of the institution.
- h. No picketing is allowed on State property.

16. GATE CLEARANCE

Contractor and Contractor's employee(s) and/or subcontractors(s) must be cleared prior to providing services. The Contractor will be required to complete a Request for Gate Clearance for all persons entering the facility a minimum of ten (10) working days prior to commencement of service. The Request for Gate Clearance must include the person's name, social security number, valid state driver's license number or state identification card number and date of birth. Information shall be submitted to the Contract Liaison or his/her designee. CDCR uses the Request for Gate Clearance to run a California Law Enforcement Telecommunications System (CLETS) check. The check will include a California Department of Motor Vehicles check, Wants and Warrants check, and Criminal History check.

Gate clearance may be denied for the following reasons: Individual's presence in the institution presents a serious threat to security, individual has been charged with a serious crime committed on institution property, inadequate information is available to establish positive identity of prospective individual, and/or individual has deliberately falsified his/her identity.

All persons entering the facilities must have a valid state driver's license or photo identification card on their person.

17. BUSINESS ASSOCIATE AGREEMENT

The awarded Contractor will be required meet provisions of the Health Insurance Portability and Accountability Act of 1996, Pub. L. No. 104-191 ("HIPAA") and the regulations promulgated thereunder. The Business Associate Agreement is included in this RFO as Exhibit D.

18. ELECTRONIC WASTE RECYCLING

The Provider certifies that it complies with the requirements of the Electronic Waste Recycling Act of 2003, Chapter 8.5, Part 3 of division 30, commencing with Section 42460 of the Public Resources Code, relating to hazardous and solid waste. Provider shall maintain documentation and provide reasonable access to its records and documents that evidence compliance. CCHCS electronic data stored upon any Provider device must be returned to the CCHCS immediately and the vendor must certify that CCHCS data is either removed from the Providers devices by degaussing or shredding per National Institute of Standards and Technology (NIST) Special Publication Series 800-88 and National Industrial Security Program (NISP) Operating Manual (DOD 5220.22-M) and Clearing and Sanitization Matrix (C&SM) based on NSA/CSS Policy Manual 9-12, "Storage Device Declassification Manual".

EXHIBIT D BUSINESS ASSOCIATE AGREEMENT (HIPAA)

Definitions

Catch-all definition:

The following terms and others used in this Agreement shall have the same meaning as those terms in the HIPAA Rules: Breach, Data Aggregation, Designated Record Set, Disclosure, Health Care Operations, Individual, Minimum Necessary, Notice of Privacy Practices, Protected Health Information, Required by Law, Secretary, Security Incident, Subcontractor, Unsecured Protected Health Information, and Use²

Specific definitions:

(a) Business Associate. “Business Associate” shall generally have the same meaning as the term “business associate” at 45 CFR 160.103, and in reference to the party to this agreement, shall mean the Contractor to the contract to which this Business Associate Agreement is attached as an exhibit. For purposes of this exhibit only, the term “Agreement” shall refer to this Business Associate Agreement. The term “Service Agreement” shall refer to the contract to which this Business Associate Agreement is attached as an exhibit.

(b) Covered Entity. “Covered Entity” shall generally have the same meaning as the term “covered entity” at 45 CFR 160.103, and in reference to the party to this agreement, shall mean California Department of Corrections and Rehabilitation, California Correctional Health Care Services (CCHCS).

(c) HIPAA Rules. “HIPAA Rules” shall mean the Privacy, Security, Breach Notification, and Enforcement Rules at 45 CFR Part 160 and Part 164.

Obligations and Activities of Business Associate

Business Associate agrees to:

(a) Not use or disclose protected health information other than as permitted or required by the Agreement or as required by law;

(b) Use appropriate safeguards, and comply with Subpart C of 45 CFR Part 164 with respect to electronic protected health information, to prevent use or disclosure of protected health information other than as provided for by the Agreement;

(c) Report to Covered Entity any use or disclosure of protected health information not provided for by the Agreement of which it becomes aware, including breaches of unsecured protected health information and any security incident of which it becomes aware as required by Federal and State laws (i.e., Health and Safety Code Section 1280.5, California Civil Code Section 56 et seq., California Civil Code Section 1798 et seq., and 45 CFR – Subchapter C et al.). Information Security incidents (e.g., breaches) shall be reported to the CCHCS Information Security Office within 24 hours of detection.

(d) In accordance with 45 CFR 164.502(e)(1)(ii) and 164.308(b)(2), if applicable, ensure that any subcontractors that create, receive, maintain, or transmit protected health information on behalf of the Business Associate agree to the same restrictions, conditions, and requirements that apply to the Business Associate with respect to such information;

² These definitions are set forth in the Code of Federal Regulations (CFR); Title 45, Public Welfare: PART 160—GENERAL ADMINISTRATIVE REQUIREMENTS § 160.103 Definitions, PART 162--ADMINISTRATIVE REQUIREMENTS § 162.103 Definitions. and PART 164--SECURITY AND PRIVACY § 164.103 Definitions.

- (e) Make available protected health information in a designated record set to the Covered Entity or individual or the individual's designee as necessary to satisfy covered entity's obligations under 45 CFR 164.524;
- (f) Make any amendment(s) to protected health information in a designated record set as directed or agreed to by the covered entity pursuant to 45 CFR 164.526, or at the request of an individual, or take other measures as necessary to satisfy covered entity's obligations under 45 CFR 164.526;
- (g) Maintain and make available the information required to provide an accounting of disclosures to the Covered Entity as necessary to satisfy covered entity's obligations under 45 CFR 164.528;
- (h) To the extent the Business Associate is to carry out one or more of Covered Entity's obligation(s) under Subpart E of 45 CFR Part 164, comply with the requirements of Subpart E that apply to the Covered Entity in the performance of such obligation(s); and
- (i) Make its internal practices, books, and records available to the Secretary for purposes of determining compliance with the HIPAA Rules.

Permitted Uses and Disclosures by Business Associate

- (a) Business Associate may only use or disclose protected health information as necessary to perform the services set forth in Service Agreement.
- (b) Business Associate may use or disclose protected health information as required by law.
- (c) Business Associate agrees to make uses and disclosures and requests for protected health information consistent with Covered Entity's minimum necessary policies and procedures.
- (d) Business Associate may not use or disclose protected health information in a manner that would violate Subpart E of 45 CFR Part 164 if done by Covered Entity, except for the specific uses and disclosures set forth below.
- (e) Business Associate may use protected health information for the proper management and administration of the Business Associate or to carry out the legal responsibilities of the Business Associate.

Provisions for Covered Entity to Inform Business Associate of Privacy Practices and Restrictions

- (a) Covered Entity shall notify Business Associate of any limitation(s) in the notice of privacy practices of covered entity under 45 CFR 164.520, to the extent that such limitation may affect Business Associate's use or disclosure of protected health information.
- (b) However, under 45 CFR 164.520(a)(3), inmates are not entitled to notices of privacy practices, and 45 CFR 164.520 therefore does not currently apply to Covered Entity.

Term and Termination

- (a) Term. The Term of this Agreement shall be effective as of the effective date of the Service Agreement, and shall terminate on termination of the Service Agreement or on the date Covered Entity terminates for cause as authorized in paragraph (b) of this Section, whichever is sooner.
- (b) Termination for Cause. Business Associate authorizes termination of this Agreement by Covered Entity, if Covered Entity determines Business Associate has violated a material term of the Agreement and Business Associate has not cured the breach or ended the violation within the time specified by Covered Entity.

(c) Obligations of Business Associate Upon Termination.

Business Associate

Upon termination of this Agreement for any reason, Business Associate, with respect to protected health information received from Covered Entity, or created, maintained, or received by Business Associate on behalf of Covered Entity, shall:

1. Retain only that protected health information which is necessary for Business Associate to continue its proper management and administration or to carry out its legal responsibilities;
2. Return to Covered Entity or, if agreed to by Covered Entity, destroy the remaining protected health information that the Business Associate still maintains in any form;
3. Continue to use appropriate safeguards and comply with Subpart C of 45 CFR Part 164 with respect to electronic protected health information to prevent use or disclosure of the protected health information, other than as provided for in this Section, for as long as Business Associate retains the protected health information;
4. Not use or disclose the protected health information retained by Business Associate other than for the purposes for which such protected health information was retained and subject to the same conditions set out at paragraph (e) above under “Permitted Uses and Disclosures By Business Associate” which applied prior to termination; and
5. Return to Covered Entity or, if agreed to by Covered Entity, destroy the protected health information retained by Business Associate when it is no longer needed by Business Associate for its proper management and administration or to carry out its legal responsibilities.

Upon termination of this Agreement, if requested by Covered Entity, Business Associate will transmit the protected health information to another business associate of the Covered Entity.

Upon termination of this Agreement, Business Associate shall obtain or ensure the destruction of protected health information created, received, or maintained by subcontractors.

(d) Survival. The obligations of Business Associate under this Section shall survive the termination of this Agreement.

Miscellaneous

(a) Regulatory References. A reference in this Agreement to a section in the HIPAA Rules means the section as in effect or as amended.

(b) Interpretation. Any ambiguity in this Agreement shall be interpreted to permit compliance with the HIPAA Rules.

REQUIRED ATTACHMENT CHECKLIST

A complete proposal or proposal package will consist of the items identified below. Complete this checklist to confirm the items in your proposal. Place a check mark or "X" next to each item that you are submitting to the State. For your proposal to be responsive, all required attachments must be returned. This checklist should be returned with your proposal package also.

<u>Attachment</u>	<u>Attachment Name/Description</u>
_____ Attachment A	Offer Certification Sheet
_____ Attachment B	Rate Sheet
_____ Attachment C	Offeror References
_____	Detailed description in response to Exhibit A
_____	Resume(s) of each proposed candidate(s)
_____	Copy of valid CMAS Contract

Additional Required Documents (if applicable).

_____	Bidder Declaration – GSPD 105
_____	Std. 840 Disabled Veteran Business Enterprise Participation Summary (page 1).

Required Documents Upon Agreement Award:

_____ Attachment D	Contractor Confidentiality Statement
_____ Attachment E	Non-Disclosure Agreement
_____	Digest of Laws
_____	Darfur Contracting Act Certification
_____	Payee Data Record (STD 204)
_____	Contractor Certification Clauses (CCC)
_____	Insurance Certifications (Automobile, General Liability, and Worker's Compensation) – See Sample Exhibit E for Insurance Requirements

ATTACHMENT A OFFER CERTIFICATION SHEET

This Offer Certification Sheet must be signed and returned along with all the "required attachments". The proposal must be transmitted via e-mail in accordance with the RFO instructions.

- A. Place all required attachments behind this certification sheet.
- B. The signature affixed hereon and dated certifies compliance with all the requirements of this proposal document. The signature below authorizes the verification of this certification.

An Unsigned Offer Certification Sheet May Be Cause For Rejection

1. Company Name	2. Telephone Number ()	2a. Fax Number ()
3. Address		
Indicate your organization type:		
4. <input type="checkbox"/> Sole Proprietorship	5. <input type="checkbox"/> Partnership	6. <input type="checkbox"/> Corporation
Indicate the applicable employee and/or corporation number:		
7. Federal Employee ID No. (FEIN)	8. California Corporation No.	
9. Indicate applicable license and/or certification information:		
10. Offeror's Name (Print)	11. Title	
12. Signature	13. Date	
14. Are you certified with the Department of General Services, Office of Small Business Certification and Resources (OSBCR) as:		
a. California Small Business Yes <input type="checkbox"/> No <input type="checkbox"/>	b. Disabled Veteran Business Enterprise Yes <input type="checkbox"/> No <input type="checkbox"/>	
If yes, enter certification number: _____	If yes, enter your service code below: _____	
NOTE: A copy of your Certification is required to be included if either of the above items is checked "Yes".		
Date application was submitted to OSBCR, if an application is pending:		

Completion Instructions for Offer Certification Sheet

Complete the numbered items on the Offer Certification Sheet by following the instructions below.

Item Numbers	Instructions
1, 2, 2a, 3	Must be completed. These items are self-explanatory.
4	Check if your firm is a sole proprietorship. A sole proprietorship is a form of business in which one person owns all the assets of the business in contrast to a partnership and corporation. The sole proprietor is solely liable for all the debts of the business.
5	Check if your firm is a partnership. A partnership is a voluntary agreement between two or more competent persons to place their money, effects, labor, and skill, or some or all of them in lawful commerce or business, with the understanding that there shall be a proportional sharing of the profits and losses between them. An association of two or more persons to carry on, as co-owners, a business for profit.
6	Check if your firm is a corporation. A corporation is an artificial person or legal entity created by or under the authority of the laws of a state or nation, composed, in some rare instances, of a single person and his successors, being the incumbents of a particular office, but ordinarily consisting of an association of numerous individuals.
7	Enter your federal employee tax identification number.
8	Enter your corporation number assigned by the California Secretary of State's Office. This information is used for checking if a corporation is in good standing and qualified to conduct business in California.
9	Complete, if applicable, by indicating the type of license and/or certification that your firm possesses and that is required for the type of services being procured.
10, 11, 12, 13	Must be completed. These items are self-explanatory.
14	If certified as a California Small Business, place a check in the "Yes" box, and enter your certification number on the line. If certified as a Disabled Veterans Business Enterprise, place a check in the "Yes" box and enter your service code on the line. If you are not certified to one or both, place a check in the "No" box. If your certification is pending, enter the date your application was submitted to OSBCR.

ATTACHMENT B RATE SHEET

Contractor hereby agrees to provide all labor and transportation necessary to perform services in accordance with the Statement of Work and the Terms and Conditions of the ensuing Agreement.

Upon completion of tasks to the satisfaction of CCHCS, Contractor services shall be billed and reimbursed on a deliverable basis (i.e., fixed-cost), unless otherwise specified.

DELIVERABLE	COST
1. Requirements and Design Management	
1.1 Monthly written report	\$
Deliverable 1 Total	\$
2. Technical Project Management Template	
2.1 Monthly updates of the Technical Project Management Template	\$
Deliverable 2 Total	\$
3. Status Reporting	
3.1 Written monthly report	\$
Deliverable 3 Total	\$
4. Quarterly Reports	
4.1 First (1 st) quarter 2014 Report (due April 14, 2014)	\$
4.2 Second (2 nd) quarter 2014 Report (due July 14, 2014)	\$
4.3 Third (3 rd) quarter 2014 Report (due October 13, 2014)	\$
4.4 Fourth (4 th) quarter 2014 Report (due January 12, 2015)	\$
4.5 First (1 st) quarter 2015 Report (due April 13, 2015)	\$
4.6 Second (2 nd) quarter 2015 Report (due July 13, 2015)	\$
4.7 Third (3 rd) quarter 2015 Report (due October 14, 2015)	\$
4.8 Fourth (4 th) quarter 2015 Report (due January 12, 2016);	\$
4.9 First (1 st) quarter 2016 Report (due April 14, 2016);	\$
4.10 Second (2 nd) quarter 2016 Report (due July 14, 2016);	\$
4.11 Third (3 rd) quarter 2016 Report (due October 13, 2016);	\$
4.12 Fourth (4 th) quarter 2016 Report (due January 12, 2017);	\$
Deliverable 4 Total	\$
5. Final Report	
5.1 Final Report	\$
Deliverable 5 Total	\$
6. Administrative Tasks	
6.1 Administrative Tasks	\$
Deliverable 6 Total	\$
TOTAL AGREEMENT	\$

ATTACHMENT C OFFEROR REFERENCES

Submission of this attachment is mandatory. Failure to complete and return this attachment with your offer will cause your offer to be rejected and deemed non-responsive. **ONLY ONE (1) CDCR reference will be accepted to meet this requirement. Letters of recommendation and/or letters of references are NOT acceptable as references. Vendors are responsible for ensuring the references provided respond to requests for information. Inability to confirm references will cause your bid to be rejected and deemed nonresponsive.**

List below three references for services performed, which are similar to the scope of work to be performed in this contract.

REFERENCE 1				
Name of Firm				
Street Address	City		State	Zip
Contact Person			Telephone Number	
Dates of Service			Value or Cost of Service	
Brief Description of Service Provided				
REFERENCE 2				
Name of Firm				
Street Address	City		State	Zip
Contact Person			Telephone Number	
Dates of Service			Value or Cost of Service	
Brief Description of Service Provided				
REFERENCE 3				
Name of Firm				
Street Address	City		State	Zip
Contact Person			Telephone Number	
Dates of Service			Value or Cost of Service	
Brief Description of Service Provided				

**ATTACHMENT D
CONTRACTOR CONFIDENTIALITY STATEMENT**

I understand that Consultant can be categorized as a public official for purposes of adherence to Conflict of Interest laws and the filing of a Statement of Economic Interests (Form 700). I certify that I have read and understand Conflict of Interest provisions identified in the online presentation “Ethics Orientation for State Officials” sponsored by the State of California Department of Justice, Office of the Attorney General and the Fair Political Practices Commission located at <http://caag.state.ca.us/ethics/index.htm>.

I certify that I have no personal or financial interest and no present or past employment or activity which would be incompatible with my participation in any activity related to the planning or procurement processes for the **IT Consultant-Technical Project Manager (RFO #13-009-ITS)**. For the duration of my involvement in this Project, I agree not to accept any gift, benefit, gratuity or consideration, or begin a personal or financial interest in a party who is offering, or associated with a business, on the Project.

I certify that I will keep confidential and secure and will not copy, give or otherwise disclose to any other party who has not signed a copy of this confidentiality Agreement, all information concerning the planning, processes, development or procedures of the Project and all bids, proposals, correspondence, etc. which I learn in the course of my duties on the Project. I understand that the information to be kept confidential includes, but is not limited to, specifications, administrative requirements, terms and conditions, any aspect of any supplier’s response or potential response to the solicitation, and includes concepts and discussions as well as written or electronic materials. I understand that if I leave this Project before it ends, I must still keep all Project information confidential. I understand that following completion of this project that I must still maintain confidentiality should the Project and/or my organization be subject to follow-on contracting criteria per Public Contract Code §10365.5. I agree to follow any instructions provided related to the Project regarding the confidentiality of Project information.

I fully understand that any unauthorized disclosure I make may be grounds for civil or criminal penalties and/or contract termination. I agree to advise CCHCS’ Chief Information Officer immediately in the event that I either learn or have reason to believe that any person who has access to Project confidential information has or intends to disclose that information in violation of this Agreement. I also agree that any questions or inquiries from bidders, potential bidders or third parties shall not be answered by me and that I will direct them to CCHCS’ Office of the Chief Information Officer.

 Signature:

 Date:

 Printed Name:

 Title:

 Organization:

 Telephone Number:

 Email Address:

**ATTACHMENT E
NON-DISCLOSURE AGREEMENT**

I certify that I will hold in confidence all discussions, bids, proposals, correspondence, memoranda, working papers, procurement of goods and services, or any other information on any media, which has any bearing on or discloses any aspect of the **IT Consultant-Technical Project Manager**. Based on my involvement with the project, where applicable, I certify that I have no personal or financial interest and no present employment or activity, which would be incompatible with my participation in the discussions, review and or participation in the procurement process for the project and related initiative(s)/procurement(s)/trainings thereof.

At all times during and after the process by which the California Correctional Health Care Services (CCHCS) and/or the California Department of Corrections and Rehabilitation (CDCR) procures goods and services to create the Project, CCHCS' and/or CDCR's employees, CCHCS' prospective bidders, and/or CCHCS and/or CDCR's vendors will keep confidential, and will not disclose to any third party or use, such confidential information, except in the course of their employment by or contractual relationship with the Department, and for the benefit of CDCR. The parties will protect CCHCS' and/or CDCR's confidential information using the same degree of care, but no less than a reasonable degree of care, as such party uses to protect his/her/its own confidential information. The parties will carefully restrict access to CCHCS' confidential information, and they may disclose it only to their employees, contractors, and/or other State agencies that have a need to know it and are bound by obligations of confidentiality.

I certify that I am fully able to provide fair and impartial consideration and contribution to all aspects of this project in which I am directly involved. I fully understand that any such disclosure by an employee of the State of California may be considered as a basis for disciplinary action.

Signature:

Date:

Printed Name:

Title:

Organization:

Telephone Number:

Email Address:

DELIVERABLE EXPECTATIONS DOCUMENT (DED)

Contract Information:		
Vendor:	Contract #:	Project:
Deliverable #:	Deliverable Name:	
Deliverable Description from SOW:		

Deliverable Expectations:	
Specific Component of Deliverable:	Acceptance Criteria:

Required Signatures:				
The above Deliverable Expectations have been agreed upon by:				
CCHCS Representative:				
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	Date			
Contractor:				
<table border="0" style="width: 100%;"> <tr> <td style="width: 50%; border-bottom: 1px solid black;"> </td> <td style="width: 50%; border-bottom: 1px solid black;"> </td> </tr> <tr> <td> </td> <td align="center">Date</td> </tr> </table>				Date
	Date			

DELIVERABLE ACCEPTANCE DOCUMENT (DAD)

Contract Information		
Vendor:	Contract #:	Project:
Deliverable #:	Deliverable Name:	
State Sponsor:		Date Submitted:
Deliverable Expectations Document:		
Date Approved:		State Approver:
Deliverable Acceptance Status:		
<input type="checkbox"/> Accept that the Deliverable is in conformance with the approved DED		
<input type="checkbox"/> Accept with changes noted		
<input type="checkbox"/> Reject		
Date Accepted/Rejected:		
Reason for Rejection, if Applicable:		
Remarks:		
Required Signatures:		
CCHCS Representative:		
_____	_____	
	Date	
Contractor:		
_____	_____	
	Date	