

**STATE OF WASHINGTON DEPARTMENT OF HEALTH (DOH)
OLYMPIA, WASHINGTON**

**REQUEST FOR PROPOSALS
RFP N21129**

PROJECT TITLE: Newborn Screening Data Entry

BID DUE DATE: May 4, 2015

EXPECTED TIME PERIOD FOR CONTRACT: July 1, 2015 – June 30, 2020.

BIDDER ELIGIBILITY: This solicitation is open to organizations, Bidders/teams licensed or capable of becoming licensed to do business in the state of Washington, who are available for work, and who satisfy the minimum qualifications stated in Section 1.4.

Solicitation Schedule:

Solicitation Release Date	April 13, 2015
Questions Due from Bidders & Request for Bidders Conference	April 17, 2015
DOH Response to Questions & Notification of Bidders Conference	April 21, 2015
Optional: Bidders Conference	April 24, 2015
Complaint/Suggestion Deadline	April 27, 2015
Bid Due	May 4, 2015
Evaluation Period (approximate time frame – includes optional Best and Final Offer period)	May 5 – 8, 2015
Projected Announcement of Apparently Successful Bidder (ASB), posted to WEBS	May 11, 2015
Request for Debriefing Deadline	May 14, 2015
Hold debriefing conferences (if requested)	May 15 – 19, 2015
Award Protest Deadline	May 27, 2015
Response to Protest (if protests are received)	June 10, 2015
Projected Contract Start Date	July 1, 2015

All times referred to in this solicitation are Pacific Daylight Time.

The DOH reserves the right to revise the above schedule. Revisions (if any) will be made via amendment and posted to the same location as the posting of the original solicitation.

SOLICITATION COORDINATOR

The Solicitation Coordinator is the sole point of contact in the DOH for this solicitation. Upon release, all communications in regard to this solicitation shall be directed, via email, to the Solicitation Coordinator or their designee as follows:

Name	Brad Halstead
Mailing Address	Washington State Department of Health P.O. Box 47905 Olympia, WA 98504-7905
Street Address	OR 101 Israel Rd. SE Tumwater, WA 98501
Phone Number	360-236-3904
E-Mail Address	Brad.Halstead@doh.wa.gov

Any other communication will be considered unofficial and non-binding on the DOH. Bidders are to rely on written statements issued by the Solicitation Coordinator or their designee. Communication directed to parties other than the Solicitation Coordinator may result in disqualification of the Bidder.



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1 INTRODUCTION

1.1 PURPOSE AND BACKGROUND

The Washington State Department of Health (DOH), Public Health Laboratory (PHL), Office of Newborn Screening (NBS), is a state mandated program (RCW 70.83, WAC 246-650). Approximately 165,000 specimens per year are tested at the DOH PHL. This critical and time sensitive public health program screens newborns by testing dried blood samples for potentially devastating diseases that may not otherwise be detected or evident at birth.

Each hospital, or health care provider attending a birth outside of the hospital, is required to collect and submit a blood sample within 48 hours of birth from each baby born in their facility. These samples arrive at the PHL within 72 hours of collection and are immediately accessioned for testing. In addition, each baby receives a second screen at 7-14 days of age.

Testing is time sensitive and accuracy is critical because identifying these conditions soon after birth is essential to prevent serious health problems such as developmental disability and/or death. If one of the conditions is discovered through screening, the consequences can typically be prevented or significantly reduced. Our testing, combined with our follow-up services, permits early diagnosis and treatment, thus avoiding immediate consequences and more serious health problems later in life for the child.

DOH tracks the birth records to assure that newborn babies are provided newborn screening testing services. The Office of Newborn Screening follows affected children over time to make sure they receive the proper care to improve their lives. The data input services requested under this contract are a vital element necessary to facilitate fast testing and follow-up services, which are essential for protecting the baby's health.

The purpose of this Solicitation is to provide off-site data entry services for the Office of Newborn Screening (NBS).

1.2 OBJECTIVE

Contractor shall provide data entry services for the Office of Newborn Screening (NBS). Activities under the contract include:

1. Start-up activities.
2. Data input and verification of information from four different Newborn Screening data collection cards (forms). Input consists of demographic data that is used to identify the baby and link specimens.
3. Pick-up and/or delivery of the Newborn Screening forms and keyed data to/from the State Public Health Laboratory in Shoreline, WA, six days a week. (Alternate methods may be proposed.)
4. 'Special Services' such as input-field program changes and production of sample data files to accommodate form revisions as needed, or small ad hoc data entry requests.

5. Additional requirements – see Statement of Work (SOW) – Exhibit A.

1.3 STATEMENT OF WORK

The contractor will perform the work as a result of this Solicitation per the attached Exhibit A – Statement of Work, which represents the anticipated work to be done at this time. After announcement of the apparently successful bidder, negotiations for a final statement of work may result in minor changes to the activities, tasks, deliverables or due dates as described in Exhibit A.

1.4 MINIMUM AND DESIRED QUALIFICATIONS

The Bidder must be licensed or capable of becoming licensed to do business in the state of Washington and demonstrate achievement of the following criteria:

- The bidder must demonstrate at least three (3) years' experience providing accurate, and exceptionally time critical data management services.
- If the bidder proposes to pick-up and deliver the Newborn Screening forms and keyed data as described in the Statement of Work (Section 3 - Exhibit A), the vendor facility where data entry is performed **must** be within 25 miles of the Public Health Lab in Shoreline, WA. Entities proposing alternate methods of data entry and delivery of keyed data which do not require physical pick-up of forms are not required to meet this qualification.

Bidders, who do not meet these qualifications may be rejected as non-responsive and will not receive further consideration. Any bid that is rejected as non-responsive will not be evaluated or scored.

1.5 FUNDING

In the event additional funding becomes available, any contract awarded may be renegotiated and amended to provide for additional related services.

Any contract(s) awarded as a result of this solicitation is contingent upon the availability of funding.

Contractor and the Office of Newborn Screening will review and mutually agree to unit prices biennially (every two years) based on CPI changes since the last adjustment, or as necessary due to modifications to the input affecting the work effort. Proposed costs will be in effect for the State biennial fiscal years (July through June).

1.6 PERIOD OF PERFORMANCE

The period of performance of any contract(s) resulting from this Solicitation is tentatively scheduled to begin on or about **July 1, 2015** and to end on **June 30, 2020**. The DOH reserves the option at its sole discretion to extend the contract for five (5) additional one-year periods.

1.7 **DEFINITIONS**

Definitions for the purposes of this Solicitation include:

BBP: Blood-borne pathogens; infectious microorganisms in human blood that can cause disease in humans.

Bid: A formal offer submitted in response to this solicitation.

Bidder: Individual, company, or firm submitting a bid in order to attain a contract with the DOH.

Contractor: Individual or company whose bid has been accepted by the DOH and is awarded a fully executed, written contract.

DOH: The Washington State Department of Health (DOH).

EHDDI: Early Hearing Loss Detection, Diagnosis and Intervention (EHDDI); a DOH screening program.

NBS: Newborn Screening (NBS); a DOH screening program. NBS may also refer to the screening tests or specimen collection cards (forms).

Solicitation: This Request for Proposals (RFP) – N21129. This formal solicitation document in which services needed are identified and individuals and firms are invited to provide their qualifications to provide the services and their cost associated with providing these services.

2 **GENERAL INFORMATION FOR BIDDERS**

2.1 **QUESTION AND ANSWER PERIOD**

Questions regarding this Solicitation will be allowed consistent with the dates specified in the solicitation schedule on the cover page. All questions must be submitted via email to the Solicitation Coordinator.

The DOH will provide written answers for questions received by the question and answer period's deadline. Answers will be posted to the same location as the posting of the original solicitation.

Verbal responses to questions will not be provided. Only written answers will be considered official and binding. Bidders will not be identified in answers.

If interpretations or other changes to this Solicitation are required as a result of inquiries made during the question and answer period, the Solicitation may be amended. Amendments are posted to the same location as the posting of the original solicitation.

2.2 **BIDDERS CONFERENCE – OPTIONAL**

A bidder's conference may be scheduled if enough interest is expressed by potential bidders by the date indicated in the schedule. If desired, bidders must request a bidder's conference be convened by the date established in the solicitation schedule. Requests to convene and attendance are optional. DOH reserves the right to cancel the bidder's conference at its own discretion. Any costs

to attend the bidder's conference are the sole responsibility of the bidder. If enough interest is shown, the bidder's conference will be held on the date indicated in the Solicitation Schedule at the Department of Health facilities in Shoreline, WA at 10:00 a.m.

The purpose of the bidder's conference is to familiarize the bidders with the requirements of the contract. Department of Health staff will review the statement of work requirements and data entry and output requirements. There will be an opportunity to ask questions and view the laboratory to see the workflow, if desired.

2.3 COMPLAINT PROCESS

Issues or concerns not resolved to a Bidder's satisfaction during the question and answer period may be addressed through a complaint only on the following grounds:

1. the Solicitation unnecessarily restricts competition;
2. the evaluation or scoring process is unfair or flawed; or
3. the Solicitation requirements are inadequate or insufficient to prepare a response.

A complaint must:

- a. be received by the DOH by the date specified in the Solicitation Schedule. Otherwise, an untimely complaint may be rejected without further consideration at the discretion of the DOH; and
- b. be sent by email to the Solicitation Coordinator
- c. include the Solicitation number and be clearly labeled as "Complaint".

A complaint should:

- a. clearly articulate the basis of the complaint consistent with the compliant criteria; and
- b. include a proposed remedy.

Upon receipt of a timely complaint, the DOH will consider all the facts available and respond in writing prior to the Response due date and time.

The Solicitation Coordinator shall promptly post the response to a timely complaint on WEBS.

The DOH response to the complaint is final and not subject to appeal. Issues raised in a complaint may not be raised again during the protest period.

2.4 SUBMISSION OF BIDS

Bidders are required to submit their bid electronically in PDF format. The bid must be received by the Solicitation Coordinator no later than 5:00 p.m., local time, as specified in the Solicitation Schedule.

Bidders assume the risk for the method of delivery chosen. The DOH assumes no responsibility for delays caused by any delivery service. Bids may not be transmitted using facsimile transmission.

Late bids will not be accepted and will be automatically disqualified from further consideration. All bids and any accompanying documentation become the property of the DOH and will not be returned.

2.5 PUBLIC DISCLOSURE PROPRIETARY/CONFIDENTIAL INFORMATION

All records related to procurements under RCW 39.26 are subject to disclosure; except that bid submissions and evaluations are exempted until the apparent successful bidder (ASB) is announced. Upon announcement of the ASB, all bid submissions and evaluation information will be available via email request at: FSPublicDisclosureRequests@doh.wa.gov.

Any information in the bid that the Bidder desires to claim as proprietary or confidential and exempt from disclosure must be specifically referenced in your bid and included as a separate document and clearly identified as “Proprietary/Confidential Information” at the top of the document. References in your bid documents to proprietary/confidential information must clearly show which part of the “Proprietary/Confidential Information” document you are referring to (for example: “see section A of the Proprietary/Confidential Information section”). Each page of the bid containing the proprietary/confidential information must be clearly identified by the words “Proprietary/Confidential Information” on the lower right hand corner of the page. Marking the entire bid proprietary/confidential and exempt from disclosure will not be honored and the bid will be rejected as non-responsive.

All information that is appropriately marked as proprietary or confidential will be redacted or removed from the bid documents prior to public inspection or disclosure.

2.6 REVISIONS TO THE SOLICITATION

In the event it becomes necessary to revise any part of this Solicitation, an amendment will be made available to all potential bidders at the same location as the posting of the original solicitation.

The DOH also reserves the right to cancel or to reissue the Solicitation in whole or in part, prior to execution of a contract.

2.7 MINORITY & WOMEN-OWNED BUSINESS ENTERPRISES AND VETERAN-OWNED BUSINESS ENTERPRISE PARTICIPATION

Minority and Women Owned Business Enterprises (MWBE)

In accordance with the legislative findings and policies set forth in RCW 39.19, the state of Washington encourages participation in all of its Contracts by Minority and Woman Owned Business Enterprise (MWBE) firms certified by the Office of Minority and Women’s Business Enterprises (OMWBE). While the state does not give preferential treatment, it does seek equitable representation from the minority and women’s business community. In addition, the state welcomes participation by self-identified minority and woman owned firms and strongly encourages such firms to become certified by OMWBE.

Participation may be either on a direct basis in Response to this Solicitation or as a subcontractor to a Contractor. However, unless required by federal statutes, regulations, grants, or Contract terms referenced in the competitive procurement solicitation, no preference will be included in the evaluation of Bids, no minimum level of MWBE participation shall be required as condition for receiving an award, and Bids will not be evaluated, rejected or considered non-responsive on that basis.

Veteran-Owned Business Enterprise

The DOH strongly encourages participation of businesses owned by veterans. No minimum level of veteran-owned business participation is required as a condition of receiving an Award and no preference will be included in the evaluation of Responses in accordance with chapter 43.60A RCW.

2.8 *RESPONSIVENESS*

All bids will be reviewed by the Solicitation Coordinator to determine compliance with administrative requirements and instructions specified in this Solicitation. The Bidder is specifically notified that failure to comply with any part of the Solicitation may result in rejection of the bid as non-responsive.

The DOH also reserves the right, however, at its sole discretion to waive minor administrative irregularities.

2.9 *MOST FAVORABLE TERMS/ BEST AND FINAL OFFER*

The DOH reserves the right to make an award on the original bid submitted or, at its sole discretion, to request a best and final offer from the top contending bidders, as defined by the DOH. The initial bid should be submitted on the most favorable terms which the Bidder can propose. The DOH reserves the right to contact a Bidder for clarification of its bid.

The Bidder should be prepared to accept this Solicitation for incorporation into a contract resulting from this Solicitation. Contract negotiations may incorporate some or all of the Bidder's entire bid. It is understood that the bid will become a part of the official contract file on this matter without obligation to the DOH.

2.10 *CONTRACT AND GENERAL TERMS & CONDITIONS*

The apparent successful bidder will be expected to enter into a contract, which is substantially the same as the sample contract and its general terms and conditions attached as Exhibit D. In no event is a Bidder to submit its own standard contract terms and conditions in response to this solicitation. The Bidder may submit exceptions as allowed in the Certifications and Assurances section, Exhibit C to this solicitation. The DOH will review requested exceptions and accept or reject the same at its sole discretion.

2.11 *COSTS TO PROPOSE*

The DOH will not be liable for any costs incurred by the Bidder in preparation of a bid submitted in response to this Solicitation, in conduct of a presentation, or any other activities related to responding to this Solicitation.

2.12 NO OBLIGATION TO CONTRACT

This Solicitation does not obligate the State of Washington or the DOH to contract for services specified herein. The DOH reserves the right at its sole discretion to reject any and all bids received without penalty and not to issue a contract as a result of this Solicitation.

3 BID CONTENTS

Bids must be submitted via email. The four major sections of the bid are to be submitted in the order noted below:

1. Letter of Submittal, including signed Certifications and Assurances (Exhibit C to this Solicitation)
2. Management Proposal
3. Technical Proposal
4. Cost Proposal

Bids must provide information in the same order as presented in this document with the same headings. This will not only be helpful to the evaluators of the bid, but should assist the Bidder in preparing a thorough response.

Items in this section marked “mandatory” must be included as part of the bid for the bid to be considered responsive, however, these items are not scored. Items marked “scored” are those that are awarded points as part of the evaluation conducted by the evaluation team.

As a reminder, information provided in bid documents is subject to public disclosure per section 2.4 of this solicitation. Do not include information in your response that you do not want disclosed to the public.

3.1 LETTER OF SUBMITTAL (MANDATORY)

The Letter of Submittal and the attached Bid Certifications and Assurances form (Exhibit C to this Solicitation) each must be signed and dated by a person authorized to legally bind the Bidder to a contractual relationship, e.g., the president or executive director of a corporation, the managing partner of a partnership, or the proprietor of a sole proprietorship. Attach the Bid Certifications and Assurances form to the Letter of Submittal.

The Letter of Submittal must contain the following business information:

- State the name of the Bidder or company, address, phone number, email address of the primary contact, and legal status of entity (ownership).
- Provide the firm’s Federal Employer Tax Identification number and the Washington Uniform Business Identification (UBI) number issued by the state of Washington Department of Revenue, or affirm that it will be provided prior to contract signing.
- Indicate how many employees are employed at the firm. Name the firm principles and their titles.

- If applicable, include proof of certification issued by the Washington State Office of Minority and Women's Business Enterprises if certified minority-owned firm and/or women-owned firm(s) will be participating on this project.
- Identify any state employees or former state employees employed by the Bidder or on the Bidder's governing board as of the date of the bid. Include the individual's name, the agency previously or currently employed by, job title or position held at the agency, and separation date (if applicable). If, following a review of this information, it is determined by the DOH that a conflict of interest exists, the Bidder may be disqualified from further consideration for the award of a contract.
- If the Bidder has had a contract terminated for default in the last five years, describe such incident including full details of the terms for default, including the other party's name, address, and phone number. Present the Bidder's position on the matter. Termination for default is defined as notice to stop performance due to the Bidder's non-performance or poor performance and the issue of performance was either (a) not litigated due to inaction on the part of the Bidder, or (b) litigated and such litigation determined that the Bidder was in default. The DOH will evaluate the facts and may, at its sole discretion, reject the bid on the grounds of the past experience. If no such termination for default has been experienced by the Bidder in the past five years, so indicate.

3.2 MANAGEMENT PROPOSAL (SCORED - Limit 5 pages)

A. Project Management

- **Project Team Structure/Internal Controls** - Provide a description of the proposed project team structure, resources, and internal controls to be used to accomplish the work, including any subcontractors. Include who within the firm will have primary responsibility and final authority for the work.

Specifically address the elements below in the order shown:

- Company location – specifically the physical address of the location where data entry services will be performed. See minimum qualifications section 1.4 for more detail.
- If applicable, describe staff training plan including BBP training and immunization availability
- Outline company policies and procedures that fulfill DOH requirements for confidential data (Appendix H)
- **Project Manager Qualifications/Experience** – Provide a resume/CV for the project manager, which includes information on the individual's particular skills related to this project, education, experience, significant accomplishments and any other pertinent information.

B. Experience of the Bidder

Indicate the experience the Bidder and any subcontractors have in the following areas associated with accurate, high volume, time critical and ongoing data entry.

Specifically address the elements below in the order shown:

- Company background including years in business
- Brief description of jobs similar to that covered under this RFP including volume of work and length of time providing service.
- Indicate other relevant experience that demonstrates the qualifications of the Bidder, and any subcontractors, for the performance of the potential contract.
- Include a list of contracts the Bidder has had during the last five years that relate to the Bidder's ability to perform the services needed under this RFP.

C. References

The Bidder must provide contact information for at least three (3) business references for the Bidder, including three (3) business references for the Project Manager that will be assigned to this contract where services provided were similar in size, application and scope. Briefly describe the type of service provided. Do not include current DOH staff as references.

By submitting a proposal in response to this RFP, the bidder grants permission to DOH to contact these references and others, who from DOH's perspective may have pertinent information. DOH may or may not, at their discretion, contact references. The DOH may evaluate references at their discretion.

3.3 TECHNICAL PROPOSAL (SCORED - Limit 10 pages)

The Technical Proposal must contain a comprehensive description of how the bidder plans to meet the requirements of the NBS program, including the following elements:

A. Project Approach/Methodology – Include a complete description of the Bidder's proposed approach and methodology for the project. This section should convey Bidder's understanding of the proposed project and workflows. This section should include the following:

- Conceptual description of bidder's process to meet the work flow and deadlines outlined in the Statement of Work (Exhibit A)
- Description of any anticipated issues or risks and bidder's mitigation plan

B. Start-up/Transition Plan – Include a step-by-step description of your plan to transition from the existing contractor.

- Planned approach to transition from current contractor to bidder
- Amount of time needed to transition, including developing data input systems and verifying data

- Milestones that must be achieved to meet the deadline for transition
- Resources required from DOH
- Resources assigned by contractor during start-up.

C. Work Plan - Include all project requirements and the proposed tasks, services, activities, etc. necessary to accomplish the scope of the project defined in this RFP. This section of the technical proposal must contain sufficient detail to convey to members of the evaluation team the Bidder's knowledge of the subjects and skills necessary to successfully complete the project. Include any required involvement of DOH staff.

Specifically address the elements below in the order shown:

- i. Planned approach to enter and validate data
- ii. Plan to meet deadlines for turnaround
- iii. Plan for timely pickup and delivery (if applicable), including overcoming bad weather or traffic*
- iv. Outline process for maintaining confidentiality during specimen or data transport
- v. Describe process to accommodate input field changes
- vi. Describe turnaround time for program or process changes
- vii. Describe system back-ups or redundancies to maintain continuity of operations in the event of emergency or system failure
- viii. Address any additional requirements detailed in the SOW

***NOTE:** The Statement of Work describes the process currently used to transfer data to/from the contractor. Bidders are encouraged to propose alternate methods and modes of data transfer including electronic options that meet the DOH data standards (Appendix F of Exhibit A). Time frames as specified in the Statement of Work (Exhibit A), other than the requirement for next-day turnaround may not apply, depending on method proposed. (e.g., NBS forms may be made available earlier in the day for digitalization if needed.)

D. Risks - The Bidder must identify potential risks that are considered significant to the success of the project. Include how the Bidder would propose to effectively monitor and manage these risks, including reporting of risks to the DOH's contract manager.

NOTE: Technical and Management proposals (combined) are limited to no more than 15 pages total combined, excluding any attachments.

3.4 COST PROPOSAL (SCORED)

A. IDENTIFICATION OF COSTS:

The bidder shall submit a bid (Exhibit B) for each of the services (A through E) listed below. The bid must be inclusive of all costs including labor, travel, overhead, profit, all other direct and indirect costs to be incurred by the contractor and any other services related to accomplishing the outlined tasks.

Task
A. Startup services
B. Data entry services
a. Data entry of form #304-001 Newborn Screening Test
b. Data entry of form #344-010 Live Births for the Week or similar form
c. Data entry of DOH EHDDI Pink form
d. Data entry of DOH EHDDI Blue form
C. Pick-up and Delivery to/from Public Health Laboratories (or alternate data transfer proposed)
D. Special Services
E. Additional requirements

Anticipated work volumes are shown in Exhibit B. Bidders are required to collect and pay Washington State taxes as applicable. Do not include taxes in the bid amounts.

Contractor and the Office of Newborn Screening will review and mutually agree to unit prices biennially (every two years) based on CPI changes since the last adjustment, or as necessary due to modifications to the input affecting the work effort. Proposed costs will be in effect for the State biennial fiscal years (July through June).

The evaluation process is designed to award this solicitation not necessarily to the Bidder of least cost, but rather to the Bidder whose bid best meets the requirements of this Solicitation. Bidders are encouraged, however, to submit bids which are consistent with state government efforts to conserve state resources.

4 EVALUATION AND CONTRACT AWARD

4.1 EVALUATION PROCEDURE

Responsive bids will be evaluated strictly in accordance with the requirements stated in this solicitation and any amendments issued. The evaluation of bids shall be accomplished by an evaluation team to be designated by the DOH, which will determine the ranking of the bids.

4.2 CLARIFICATION OF BID

The Solicitation Coordinator may contact the Bidder for clarification of any portion of the Bidder's bid.

4.3 EVALUATION WEIGHTING AND SCORING

The following weighting and points will be assigned to the bid for evaluation purposes:

<u>Management Proposal – 25%</u>	<u>50 points</u>
• Project Management	15 points
• Experience of the Bidder	20 points
• References	15 points
<u>Technical Proposal – 50%</u>	<u>100 points</u>
• Project Approach/Methodology	10 points
• Startup/Transition Plan	30 points
• Work Plan	50 points
• Risks	10 points
<u>Cost Proposal – 25%</u>	<u>50 points</u>
<u>Total Points</u>	<u>200 points</u>

4.4 NOTIFICATION TO BIDDERS

The Bidder(s) with the highest total score(s) will be declared the Apparent Successful Bidder(s). This does not guarantee that the State will enter into a contract with the Bidder. Designation as an Apparently Successful Bidder allows the State to enter into contract negotiations with the Apparent Successful Bidder. Bidders that act or fail to act in reliance on this notification do so at their own risk and expense.

Bidders that were not selected for further negotiation or award will be notified by email.

4.5 DEBRIEFING OF UNSUCCESSFUL BIDDERS

The request for a debriefing conference must be received by the Solicitation Coordinator within three (3) business days after the announcement of the apparent successful bidder. The request should include a list of bidder attendees including their titles. Debriefing may be conducted either in person, by telephone, or by electronic means, as determined by the Solicitation Coordinator. **The failure of a Bidder to make a timely request and/or attend a debriefing conference shall constitute a waiver of the right to submit a protest.**

Discussion will be limited to a critique of the requesting Bidder's bid. Comparisons between bids or evaluations of the other bids will not be allowed. Debriefing conferences will be scheduled for a maximum of one hour.

4.6 PROTEST PROCEDURE

Bidders protesting this solicitation shall follow the procedures described below. Protests that do not follow these procedures shall not be considered.

This procedure is available to Bidders who submitted a response to this solicitation document and who have participated in a debriefing conference. Upon completing the debriefing conference, the Bidder is allowed five (5) business days to file a protest with the Solicitation Coordinator. The protest must be via email, include the solicitation number, be clearly labeled as "Protest", include a specific and complete statement of facts forming the basis of the protest, and include a description of the relief or corrective action requested.

A protest may be based only on one or more of the following:

- bias, discrimination or conflict of interest on the part of the evaluator
- errors in computing the scores; or
- non-compliance with procedures described in the solicitation document

Protests not based on the above procedural matters will not be considered.

Upon receipt of a protest, a protest review will be held by a DOH agency representative. This representative will be a neutral party who was not involved in the solicitation evaluation and award process. The agency representative will review the protest and all available facts and issue a response within ten (10) business days of receipt of the protest. If additional time is required, the protesting party will be notified of the estimated additional time needed to respond.

The final determination of the protest shall:

- Find the protest lacking in merit and uphold the DOH's action; or
- Find only technical or harmless errors in the DOH's acquisition process and determine the DOH to be in substantial compliance and reject the protest; or.
- Find merit in the protest and provide the DOH options which may include:
 - Correct the errors and re-evaluate all bids, and/or
 - Reissue the solicitation document and begin a new process, or
 - Make other findings and determine other courses of action as appropriate

If the DOH determines that the protest is without merit, the DOH will enter into a contract with the apparently successful bidder. If the protest is determined to have merit, one of the alternatives noted in the preceding paragraph will be taken.

The protest decision is final and not subject to administrative appeal. If the protesting bidder does not accept the DOH protest decision, the bidder may seek relief from the Superior Court in Washington State.

5 SOLICITATION EXHIBITS

- Exhibit A – Statement of Work
 - Appendix A – Newborn Screening Test (NBS Forms)
 - Appendix B – Live Births For Week (samples)
 - Appendix C – DOH Form “Early Hearing Loss Detection, Diagnosis and Intervention” (EHDDI) Pink Card
 - Appendix D – DOH Form “Early Hearing Loss Detection, Diagnosis and Intervention” (EHDDI) Blue Card
 - Appendix E – NBS Forms Data Fields
 - Appendix F – DOH Data Standards
 - Appendix G - Office of Newborn Screening Holiday Schedule
 - Appendix H - DOH Confidentiality Agreement
- Exhibit B - Cost Proposal Worksheet
- Exhibit C – Bidder Certifications and Assurance
- Exhibit D – Professional Service Contract including General Terms and Conditions (GT&Cs)

Exhibit A - Statement of Work
RFP N21129 Newborn Screening Data Entry

1. Start Up:

The Contractor is responsible for development of any software and programming used to accommodate off-site data entry and validation. The Contractor must provide data output test files in exact format required by the Newborn Screening Program's software system (Neometrics). The Office of Newborn Screening will provide specifications for data output (current output is a delimited text file) and will work with the Contractor to validate input and troubleshoot problems.

The start-up phase of the contract is expected to be completed within the first 30 days of the contract period to enable a smooth and uninterrupted transition from the current contractor.

2. Data Entry:

The Contractor will perform daily data input of four unique Newborn Screening forms. All data must be verified or reviewed to maintain a data field error rate of less than 0.5%. It is anticipated that these forms will be revised from time to time (generally less than once per year) and that prior versions of the forms will continue to be received, intermixed with the current version. DOH PHL will provide examples of all version of the forms below, the Contractor must be able provide data input for all versions.

A. DOH form #304-001 "Newborn Screening Test" (Appendix A)

- Approximate weekly workload: 3,000 - 3,500 forms (up to 1,400 forms in a single day). Generally, Mondays are the largest volume and Friday's are the lightest.
- Output data must be in the order the forms are received (sequential). Forms are bundled in batches of 80 and the batch must be maintained.
- Various revisions exist, current revision 09/14. There are currently 4 revisions in use, including the most recent.

B. DOH form #344-010 "Live Births for the Week" (revised 06/14) (Appendix B).

- Multiple birth events are typically recorded on each form
- Approximate weekly workload: 1,600 birth event entries.
- Not all birth events are submitted on the provided form; data entry must be flexible and accommodate non-standard formats.

C. DOH from Early Hearing Loss Detection, Diagnosis and Intervention" (EHDDI) Pink card (Appendix C)

- Approximate weekly workload: 1,750 forms
- Output data must be in the order the forms are received (sequential).

D. DOH form “Early Hearing Loss Detection, Diagnosis and Intervention” (EHDDI) Blue card (Appendix D)

- Approximate weekly workload: 200 forms
- Output data must be in the order the forms are received (sequential).
- Two versions of this form are currently in use.

Field and keystroke estimations for each form can be found in Appendix E. This is provided for estimation purposes only. Bidder should verify counts for the purposes of proposing a cost.

3. Pick-up and Delivery of the Newborn Screening Forms and Keyed Data:

Currently, all forms are picked up at the public health laboratory, physically transported to the data-input contractor’s site and the data is entered using contractor resources (personnel, software, and equipment). An electronic file is returned to the laboratory the following day with the physical forms.

NOTE: *Bidders may propose an alternate method of obtaining the raw data. If proposing an alternate method of obtaining the data, bidders should include a detailed plan, identifying the logistics, resources required from DOH, potential issues, and how these will be overcome (see Section 3.3 of the RFP).*

Assuming that the present method of information transfer will be used, NBS forms must be picked up Monday through Friday between 3:00 and 4:00 p.m. at the:

**Department of Health
Public Health Laboratory
1610 NE 150th Street
Shoreline, WA 98155**

All forms and their accompanying keyed data files shall be returned to the DOH PHL by 7:30 am on the day following pick-up by the Contractor (Tuesday through Saturday). Refer to the Holiday Schedule for additional days in which pick-up or delivery services will be required (Appendix G).

Pick-up and delivery is required on-time throughout the year, regardless of weather or traffic conditions (close proximity between the contractor and the DOH PHL is advantageous). Additional pick-ups and deliveries, including weekends or holidays, may be required when Newborn Screening data entry is needed to meet the operational needs of the Office of Newborn Screening. If deemed necessary, the Office of Newborn Screening will notify the Contractor in advance of such days.

The Contractor shall deliver keyed data on such media and in such a format as shall be from time to time specified by the Office of Newborn Screening. The current media requirement is an encrypted USB flash drive. The Contractor must comply with DOH data standards (Appendix F).

The NBS forms and keyed data contain confidential health and individual demographic information; the Contractor is responsible for transporting the forms and keyed data securely. Physical transportation of the NBS forms must be secure and clearly documented using a chain-of-custody procedure to meet the DOH confidentiality standards and security.

NOTE: *Alternative methods of transfer may be proposed, including digital options that meet the DOH data standards. Time frames noted above, other than the requirement for next-day turnaround may not apply, depending on method proposed (e.g., NBS forms may be made available earlier in the day for digitalization if needed.) (see Section 3.3 of the RFP).*

4. Special Services:

There are occasional revisions to the data collection cards, including format changes and additional data to be input. These are made infrequently, generally less than once per year. Contractors are expected to modify their data input screens and output files to accommodate the changed data and, working with the Office of Newborn Screening, to successfully validate changes.

In the case of a data change, the Contractor shall submit sample test files for any changes made to their program; this includes changes made when the NBS forms are updated and fields are added or deleted. No changes in the output file shall be implemented without testing or approval from the Office of Newborn Screening.

It is anticipated that less than 80 hours of ‘Special Services’ will be required each year. Contractor should propose an hourly rate for modifications to their data input systems, including verification steps. Contractors should outline the process for requesting modifications and the timeframe for modifications (in general).

5. Additional Requirements:

Services required above are extremely time-critical. The Contractor will be handling Newborn Screening forms that contain dried blood samples and associated confidential healthcare data. Both the content of the forms and the data keyed by the Contractor are integral and critical parts of the testing process and are required for completion and interpretation of the newborn screening tests. Delays or errors in completing these tests can result in permanent developmental delays or death of an affected infant. In recognition of this the Contractor shall:

- Ensure that conditions of this contract are achieved in a timely and accurate manner by assigning a Project Manager that will be the primary point of contact at the Contractor.
- Provide a point of contact to be available during laboratory business hours. Generally, 7:30 am- 5:00 pm Monday through Friday and 8:00 am- 12:00 pm Saturdays.
- Take appropriate measures to maintain confidentiality of the information contained in records obtained from DOH PHL.
 - Inform each employee, sub-contractor, and manager who has access to this information of its confidential nature, obtain a signed “Statement of Confidentiality” form (Appendix H), and forward a copy of the signed form to the DOH PHL Office of Newborn Screening.
- The Contractor shall maintain the data-input software program and shall possess system backups and procedures in the event of system failure. In

the event of system failure, data-input services must be restored within 24 hours.

- Invoicing under this contract shall be monthly, with enough detail to allow verification of activities being invoiced.
- If proposing physical contact with the NBS forms the Contractor shall:
 - Acknowledge receipt of and follow DOH PHL biosafety policies (WAC 296-823-140).
 - Offer Hepatitis B immunizations to employees that will be handling the original specimen cards.
 - Explain to contractor employees that wearing gloves while entering and handling the specimen forms is not mandatory but strongly recommended. The DOH PHL Office of Newborn Screening will provide gloves as needed.

Appendix A: Newborn Screening Test (NBS Forms)

Appendices A – H to the Statement of Work

NBS Form: Magenta Ink (current version)

SEE DIRECTIONS ON BACK. PLEASE PRINT.	DO NOT USE THIS AREA	WASHINGTON STATE NEWBORN SCREENING		PerkinElmer 226 Ahlistrom LOT 102277 / 314131 SN 3216501X SN 3216501X SN XXXXXXXX SN XXXXXXXX SN XXXXXXXX SN XXXXXXXX	
	MOTHER'S INFORMATION		CHILD'S INFORMATION		
	LAST NAME		Birth: Mo Day Yr Hr : Mn am pm		
	FIRST NAME		Collection: _____ : _____		
	Maternal Steroids <input type="checkbox"/> (date last) _____		Name: Last First		
	MISCELLANEOUS INFORMATION		Med Rec #: _____		
	BIRTH FACILITY		Sex: M <input type="checkbox"/> F <input type="checkbox"/>		
	Facility ID (bom at): _____		Birth Order: single <input type="checkbox"/> if multiple A <input type="checkbox"/> B <input type="checkbox"/>		
	Name of Facility: _____ <small>(For home-birth, use birth attendant ID)</small>		Birthweight: _____ grams OR _____ lbs. _____ oz.		
	SUBMITTER ID		FOLLOW-UP CARE		
Collected at (facility): _____		Follow-up Clinic ID: _____			
<input type="checkbox"/> Same as Birth Facility		<input type="checkbox"/> Same as Submitter			
<input type="checkbox"/> Refused: Check box if refused and sign form on reverse (required)		CHILD'S SPECIAL CONSIDERATIONS			
		NICU <input type="checkbox"/> HA/TPN <input type="checkbox"/> Steroids <input type="checkbox"/> Antibiotics <input type="checkbox"/>			
		<input type="checkbox"/> Transfused (RBC) Date last: _____			
		 SN 3216501X			

NBS Form: Brown Ink (previous version- still in circulation)

SEE DIRECTIONS ON BACK. PLEASE PRINT.	DO NOT USE THIS AREA	WASHINGTON STATE NEWBORN SCREENING		PerkinElmer 226 Ahlistrom LOT 0120201 / XXXXXXXX SN XXXXXXXX SN XXXXXXXX SN XXXXXXXX SN XXXXXXXX	
	MOTHER'S INFORMATION		CHILD'S INFORMATION		
	LAST NAME		Birth: Mo Day Yr Hr : Mn am pm		
	FIRST NAME		Collection: _____ : _____		
	Maternal Steroids <input type="checkbox"/> (date last) _____		Name: First Last		
	MISCELLANEOUS INFORMATION		Med Rec #: _____		
	SUBMITTER INFORMATION		Sex: M <input type="checkbox"/> F <input type="checkbox"/>		
	COLLECTED AT: _____		Birth Order: single <input type="checkbox"/> if multiple A <input type="checkbox"/> B <input type="checkbox"/>		
	ID: _____		Birthweight: _____ grams OR _____ lbs. _____ oz.		
	OUTPATIENT PROVIDER INFORMATION		CHILD'S SPECIAL CONSIDERATIONS		
WELL-CHILD CARE WITH: _____		NICU <input type="checkbox"/> HA/TPN <input type="checkbox"/> Steroids <input type="checkbox"/> Antibiotics <input type="checkbox"/>			
ID: _____		<input type="checkbox"/> Transfused (date last) _____			
<small>IF TEST IS REFUSED BY PARENT, CHECK HERE (SIGNATURE IS REQUIRED ON BACK OF FORM) DCH334001 (REV. 04/08)</small>		 SN XXXXXXXX			

Appendix A: Newborn Screening Test (NBS Forms)

NBS Form: Blue Ink (old version, rare)

DO NOT USE THIS AREA

NEWBORN SCREENING
WASHINGTON STATE DEPT. OF HEALTH
 P.O. BOX 55729 (1610 NE 150TH ST)
 SHORELINE, WA 98155-0729 www.doh.wa.gov/nbs
 Phone: 206-418-5410 Toll Free: 1-866-660-9050



MOTHER'S INFORMATION

LAST NAME _____
 FIRST NAME _____

MISCELLANEOUS INFORMATION

SUBMITTER INFORMATION

COLLECTED AT: _____
 ID: --

OUTPATIENT PROVIDER INFORMATION

WELL-CHILD CARE WITH: _____
 ID: --

CHILD'S INFORMATION

Mo Day Yr Hr : Mn am pm
 Birth: ____/____/____ : ____ □ □
 Collection: ____/____/____ : ____ □ □

Name: _____
 First Last

Med Rec #: _____

Sex: M F Twin: A B C ____ □

Birthweight: _____ grams

Race: White Black Asian NaAm Other

Hispanic: Y N

SPECIAL CONSIDERATIONS

NICU HA/TPN Steroids Antibiotics

Transfused (date last) _____

IF TEST IS REFUSED BY PARENT, CHECK HERE
 (SIGNATURE IS REQUIRED ON BACK OF FORM)
 DOH304001 (REV. 04/08)

SEE DIRECTIONS ON BACK. PLEASE PRINT.

15573503

LOT 8040201 / 0901093

Ahlstrom 226

FILL EACH CIRCLE COMPLETELY BEFORE MOVING TO THE NEXT

NBS Form: Green Ink (very old version, very rare)

NEWBORN SCREENING
WASHINGTON STATE DEPT. OF HEALTH
 P.O. BOX 55729 (1610 NE 150th St)
 SHORELINE, WA 98155-0729; Ph (206) 361-2902



MOTHER'S INFORMATION

LAST NAME _____
 FIRST NAME _____ COUNTY _____

SUBMITTER & PROVIDER INFORMATION

OPTIONAL USE = _____

SUBMITTER: Name _____
 ID# _____
 (Check one): Hospital Clinic Midwife

PROVIDER: Name _____
 ID# _____
 (Check one): Medical Doctor Osteopath
 Naturopath Nurse Practitioner
 Other

CHILD'S INFORMATION

Mo Day Yr Hr : Min am pm
 Birth: ____/____/____ : ____ □ □
 Collection: ____/____/____ : ____ □ □

Name: _____
 First Last (if different)

Medical Record #: _____

Sex: M F Twin: A B C: etc

Birthweight: _____ pounds _____ ounces
 OR _____ grams

Transfused: Y Date of Last: _____ N

Race: White Black Asian Na Am

Other: _____

Ethnicity: Hispanic Y N

IF TEST IS REFUSED BY PARENT, CHECK HERE
 (SIGNATURE IS REQUIRED ON BACK OF FORM)

SEE DIRECTIONS ON BACK PLEASE PRINT

2048243

S&S® 903™ LOT # W-001

Appendix C: DOH Form "Early Hearing Loss Detection, Diagnosis and Intervention" (EHDDI) Pink Card

EHDDI Pink Card: Current Version

<p>NEWBORN SCREENING (EHDDI) WASHINGTON STATE DEPT. OF HEALTH P.O. BOX 55729 (1610 NE 150TH ST) SHORELINE, WA 98155-0729 Phone: 206-418-5410 Toll Free: 1-866-660-9050</p>		
<p>DO NOT USE THIS AREA</p>		
<p>MOTHER'S INFORMATION</p>		<p>CHILD'S INFORMATION</p>
<p>LAST NAME _____</p>		<p>Mo Day Yr Hr : Mn am pm</p> <p>Birth: _____ <input type="checkbox"/> <input type="checkbox"/></p>
<p>FIRST NAME _____</p>		<p>Collection: _____ <input type="checkbox"/> <input type="checkbox"/></p>
<p>MISCELLANEOUS INFORMATION</p>		<p>Name: _____</p> <p style="text-align: center;"><small>First Last</small></p>
		<p>Med Rec #: _____</p>
		<p>Sex: M <input type="checkbox"/> F <input type="checkbox"/></p>
		<p>Birth Order: single <input type="checkbox"/> if multiple A <input type="checkbox"/> B <input type="checkbox"/> <input type="checkbox"/></p>
<p>HEARING SCREENING</p>		
<p>Date of Screen: ____/____/____</p>		<p>Outpatient Provider: _____</p>
		<p>Screener Initials: (please print) _____</p>
<p>Refused <input type="checkbox"/></p>		<p>Left Ear Right Ear</p>
<p>Test Method</p> <p><input type="checkbox"/> TEOAE</p> <p><input type="checkbox"/> ABR</p> <p><input type="checkbox"/> DPOAE</p>		<p>Pass <input type="checkbox"/> Pass <input type="checkbox"/></p> <p>Refer <input type="checkbox"/> Refer <input type="checkbox"/></p>
		<p>Risk Factors Present <small>(See Definitions on Back of Card)</small></p> <p>1 2 3 4 5</p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p><input type="checkbox"/> 0 - No Risk Factors</p>
		
		<p>2275001X</p>

Appendix E: NBS Forms Data Fields

Current Output FileFormat: Data and Field lengths

Begin	Len	Field Names	NBS Magenta	NBS Brown	NBS Blue	NBS Green	EHDDI Pink	EHDDI Blue-Current	EHDDI Blue-Old	Birth Rosters*
1	1	Record Type	X	X	X	X	X	X	X	X
2	7	Yr & Julian - CCYYDDD	X	X	X	X	X	X	X	
9	4	Lab #	X	X	X	X	X	X	X	
13	8	Unique Form ID (Barcode)	X	X	X	X	X	X	X	
21	30	Child's Name	X	X	X	X		X	X	
51	2	Birth Month - MM	X	X	X	X		X	X	X
53	2	Birth Day - DD	X	X	X	X		X	X	X
55	2	Birth Century - CC	X	X	X	X		X	X	X
57	2	Birth Year - YY	X	X	X	X		X	X	X
59	2	Birth Hour - HH	X	X	X	X			X	
61	2	Birth Minute - MM	X	X	X	X			X	
63	1	Birth AM/PM - A/P	X	X	X	X			X	
64	4	Birth Weight Lb/Oz	X	X	X	X				
68	4	Birth Weight Grams	X	X	X	X				
72	15	Medical Record #	X	X	X	X		X	X	
87	1	Child's Sex	X	X	X	X		X	X	X
88	1	Birth Order (S, A, B, C, ect)	X	X	X	X		X	X	X
89	1	Race - White	X	X	X	X				
90	1	Race - Black	X	X	X	X				
91	1	Race - Asian	X	X	X	X				
92	1	Race - Native American	X	X	X	X				
93	1	Race - Other	X	X	X	X				
94	10	Submitter ID	X	X	X	X				X
104	1	Race - Hisp	X	X	X	X				
105	20	Mother's Last Name	X	X	X	X		X	X	X
125	12	Mother's First Name	X	X	X	X		X	X	X
137	1	Special Cons...: NICU	X	X	X					
138	1	Special Cons...: HA/TPN	X	X	X					
139	1	Special Cons...: Steroids	X	X	X					
140	1	Special Cons...:Antibiotics	X	X	X					
141	10	Provider ID		X	X	X				
151	2	Collection Month - MM	X	X	X	X	X	X	X	
153	2	Collection Day - DD	X	X	X	X	X	X	X	
155	2	Collection Century - CC	X	X	X	X	X	X	X	
157	2	Collection Year - YY	X	X	X	X	X	X	X	
159	2	Collection Hour - HH	X	X	X	X				
161	2	Collection Minute - MM	X	X	X	X				
163	1	Collection AM/PM - A/P	X	X	X	X				
164	1	Transfused (Tr)	X	X	X	X				
165	2	(Tr) Date Last Month - MM	X	X	X	X				
167	2	(Tr) Date Last Day - DD	X	X	X	X				
169	2	(Tr) Date Last Century - CC	X	X	X	X				
171	2	(Tr) Date Last Year - YY	X	X	X	X				
173	1	Service Refused	X	X	X	X	X	X	X	
174	25	Misc Information	X	X	X	X				
199	1	Test Method - TEOAE					X	X	X	
200	1	Test Method - ABR					X	X	X	
201	1	Test Method - DPOAE					X	X	X	
202	1	Left Ear					X	X	X	
203	1	Right Ear					X	X	X	
204	1	Risk Factors Present 1					X	X	X	
205	1	Risk Factors Present 2					X	X	X	
206	1	Risk Factors Present 3					X	X	X	

*Birth Rosters are submitted in a separate data file, table demonstrates data fields included in the file

Appendix E: NBS Forms Data Fields

Current Output FileFormat: Data and Field lengths (continued)

Begin	Len	Field Names	NBS Magenta	NBS Brown	NBS Blue	NBS Green	EHDDI Pink	EHDDI Blue-Current	EHDDI Blue-Old	Birth Rosters*
207	1	Risk Factors Present 4					X	X	X	
208	1	Risk Factors Present 5					X	X	X	
209	10	Screener Initials					X	X	X	
219	1	Risk Factors None - Y/N					X	X	X	
220	40	Outpatient Provider					X	X	X	
260	40	Facility of Screen						X		
300	1	Maternal Steroids (MS)	X	X						
301	2	(MS) Date Last Month - MM	X	X						
303	2	(MS) Date Last Day - DD	X	X						
305	2	(MS) Date Last Century - CC	X	X						
307	2	(MS) Date Last Year - YY	X	X						
309	5	Birth Facility	X							
314	5	Follow-up Care	X							
319	1	<hex 0d>(System Overhead)	X	X			X	X	X	
320	1	<lf> (System Overhead)	X	X			X	X	X	

320 Total Length

*Birth Rosters are submitted in a separate data file, table demonstrates data fields included in the file



Approved Encryption Methods

1. Secure Data Storage

1.1. DOH Standard Encryption Methods

- A. Software or hardware products that support an approved encryption algorithm, as validated by NIST, meet the IT security requirement for encryption.

<http://csrc.nist.gov/groups/STM/cavp/validation.html>

http://csrc.nist.gov/groups/ST/toolkit/secure_hashing.html#Approved%20Algorithms

<http://csrc.nist.gov/groups/STM/cmvp/documents/140-1/1401vend.htm>

- B. Approved algorithms for encryption of data at rest include:

- 1) Symmetric algorithms
 - a) Advanced Encryption Standard (AES)
- 2) Asymmetric algorithms (Public Key)
 - a) Rivest, Shamir, Aldeman (RSA)
- 3) Hash Functions
 - a) SHA2 family (i.e., SHA-224, SHA-256, SHA-384 and SHA-512).

Note –Security flaws exist in previously approved SHA1 and MD5 algorithms. MD5 is considered cryptographically broken and unsuitable for further use.

NIST is currently conducting a competition to develop a new cryptographic hash algorithm. For more information on this competition and other hash related issues please see the NIST [Cryptographic Hash Project](#).

1.2. Other Encryption Methods

- A. Use of an encryption algorithm that is not approved, and/or a product that is not listed as an [IT Standard](#), requires an approved exception. The request must document how the encryption method meets or exceeds the following minimum requirements:

- 1) Conforms to industry-wide standards
- 2) Encryption algorithms and modules are validated by NIST
- 3) Provides the ability to decrypt stored data through an authorized process.
- 4) Provides the ability to protect the encryption and decryption method (key and algorithm)
- 5) The data cannot be read or understood if it is accessed by an unauthorized entity.
- 6) Provides the ability to detect alteration of intended content.

2. Secure File Transfer

2.1. DOH Standard Secure File Transfer Services

- A. The CTS [Secure File Transfer](#) service (SFTP) is the DOH standard for secure file transfers.

- 1) Use of SFTP shall not be used for long term storage of information. For the purposes of SFTP long term storage is more than 14 days.
- 2) Information is encrypted at all times while it resides on the SFTP server.

2.2. Other Secure File Transfer Services

- A. Use of any other secure file transport service for the transmission of DOH owned data must be documented through the [Visibility Reporting](#) process and approved by the ITSO prior to development, contract or acquisition.
- B. Documentation must describe how the proposed SFTP system meets or exceeds the following minimum requirements:
 - 1) Uses CTS managed or approved security layers (i.e. firewall, proxy servers and security gateways, such as Transact or Fortress)
 - 2) Is compatible with all entities (government-to-government, government-to-business, government-to-customer)
 - 3) Conforms to industry-wide standards
 - 4) Supports a wide range of platforms
 - 5) Is easily automated with current technologies
 - 6) Meets DOH logging and auditing requirements
 - 7) Assures confidential information is encrypted from the sending device to receiving device.
 - 8) Assures if the data is intercepted between the sending device and receiving device, it cannot be understood.
 - 9) Assures secure manipulation of data during transmission.
 - 10) Supports strong (two factor) authentication methods.
 - 11) Provides confirmation of receipt.
 - 12) Assures secured endpoints.

3. Secure Email

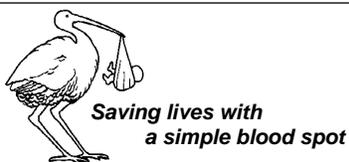
3.1. DOH Standard

- A. DOH does not currently support a secure email system.

3.2. Other Secure Email Services

- A. Use of secure email to transmit DOH information must be documented through the [Visibility Reporting](#) process, and approved by the ITSO prior to development, contract or acquisition.
- B. Documentation must describe how the proposed secure email system meets or exceeds the following minimum requirements:
 - 1) Conforms to industry-wide standards
 - 2) Supports a wide range of email clients
 - 3) Integrates with existing email systems
 - 4) Information is encrypted from the sending device to receiving device.
 - 5) Chain-of-custody is preserved from sending device to receiving device.
 - 6) Data cannot be read or understood if intercepted between sending device and receiving device.
 - 7) Ability to sign the message and detect unauthorized changes.
 - 8) Only the intended receiver is able to view the message and attachments in the unencrypted state.
 - 9) Provides confirmation of receipt.
 - 10) Ability for DOH to decrypt and retrieve the original version of sent messages.
 - 11) The encrypted message is retrievable by DOH within a pre-defined archival period.
 - 12) Meets DOH logging and audit requirements

Appendix G: Office of Newborn Screening Holiday Schedule



**Washington State
Department of Health
Office of Newborn Screening
Holiday Schedule- 2015**



Memorial Day:

Monday, May 25, 2015

Pick-up cards from the lab

Impedence Day:

Friday, July 3, 2015

Deliver & Pick-up cards from the lab

Saturday, July 4, 2015

Deliver cards to lab. No Pick-up.

Labor Day:

Monday, September 7, 2015

Pick-up cards from the lab

Veterans' Day:

Wednesday, November 11, 2015

Deliver cards to the lab. No Pick-up.

Thanksgiving:

Thursday, November 26, 2015

Holiday—No activity

Friday, November 27, 2015

Deliver & Pick-up cards from the lab

Saturday, November 28, 2015

Deliver cards to the lab

Sunday, November 29, 2015

TBD

Christmas

Friday, December 25, 2015

Deliver cards to the lab. No Pick-up.

New Year's Day

Friday, January 1, 2016

Deliver cards to the lab. No Pick-up.



Statement of Confidentiality between
State of Washington Department of Health (DOH)
and <Contractor Name> (Contractor)

Contract Number _____

Contractor's Employee and/or Subcontractor or Subcontractor's Employee:

Confidential information is information protected from public disclosure by federal or state law.
Examples of confidential information are:

- Healthcare information that is identifiable to a specific person under RCW 70.02, and residential / personal contact information of public employees, social security numbers, and financial account numbers under RCW 42.56.

RESPONSIBILITIES REGARDING CONFIDENTIAL INFORMATION

As an employee or subcontractor of <contractor> I understand it is my responsibility to maintain the confidentiality of certain information that I may access, use or otherwise acquire during the course of my work with DOH. I understand I am responsible for knowing what information is confidential. If in doubt I will work with the DOH Contract Manager, or the DOH Privacy Officer to determine if the information I access, use or otherwise acquire is confidential.

I will not at any time, or in any manner, either directly or indirectly, discuss, release, or otherwise disclose DOH confidential information to anyone outside the scope of my work, except as authorized by law.

I understand that DOH may monitor, audit, or investigate use of the confidential information I access, use, or otherwise acquire through this contract. Monitoring, auditing or investigating includes, but is not limited to, "salting" by DOH. Salting is the act of placing a record containing unique but false information in a database that can be used later to identify inappropriate disclosure of information.

PENALITES FOR DISCLOSING CONFIDENTIAL INFORMATION

I understand that my unauthorized use or disclosure of confidential information is grounds for immediate disciplinary action. Examples of disciplinary action include termination of all facility and network access, termination of the contract, and demand for return of all confidential information. I also understand that my unauthorized use or disclosure of confidential information is subject to administrative, civil, and criminal penalties identified in law.

The Contractor agrees to indemnify and hold harmless DOH for any damages related to the Contractor's or its employee's unauthorized use or disclosure of confidential information.

Employee/Subcontractor signature: _____

Date _____

Print name: _____

Contractor's signature _____

Date _____

Please print name: _____

**Exhibit B – Cost Proposal Work Sheet
RFP N21129 Newborn Screening Data Entry**

The bidder shall submit a bid for each of the services (A through E) listed below. The bid must be inclusive of all costs including labor, travel, overhead, profit, all other direct and indirect costs to be incurred by the contractor and any other services related to accomplishing the outlined tasks.

Task	Annual Projected Workload*	Unit	Unit Price	Projected Cost
A. Startup services	-	Fixed		
B. Data entry services				
a. Data entry of form #304-001 Newborn Screening Test	180,00	Forms		
b. Data entry of form #344-010 Live Births for the Week or similar form	95,000	Birth Event		
c. Data entry of DOH EHDDI Pink form	100,000	Forms		
d. Data entry of DOH EHDDI Blue form	10,000	Forms		
C. Pick-up and Delivery to/from Public Health Laboratories (or alternate data transfer method proposed)	520	Trips (260 pick-up, 260 delivery)		
D. Special Services	80	Hours		
E. Additional requirements	Specify	Specify		
Total Annual Projected Cost				

*Workload is estimated, actual workloads will vary

EXHIBIT C - BIDDER CERTIFICATIONS AND ASSURANCES

I/we make the following certifications and assurances as a required element of the bid to which it is attached, understanding that the truthfulness of the facts affirmed here and the continuing compliance with these requirements are conditions precedent to the award or continuation of the related contract(s):

1. I/we declare that all answers and statements made in the bid are true and correct.
2. The prices and/or cost data have been determined independently, without consultation, communication, or agreement with others for the purpose of restricting competition. However, I/we may freely join with other persons or organizations for the purpose of presenting a single bid.
3. The attached bid is a firm offer for a period of 60 days following receipt, and it may be accepted by the DOH without further negotiation (except where obviously required by lack of certainty in key terms) at any time within the 60-day period.
4. In preparing this bid, I/we have not been assisted by any current or former employee of the state of Washington whose duties relate (or did relate) to this bid or prospective contract, and who was assisting in other than his or her official, public capacity. (Any exceptions to these assurances are described in full detail on a separate page and attached to this document.)
5. I/we understand that the DOH will not reimburse me/us for any costs incurred in the preparation of this bid. All bids become the property of the DOH, and I/we claim no proprietary right to the ideas, writings, items, or samples, unless so stated in this proposal.
6. Unless otherwise required by law, the prices and/or cost data that have been submitted have not been knowingly disclosed by the Bidder and will not knowingly be disclosed by him/her prior to opening, directly or indirectly to any other Bidder or to any competitor.
7. I/we agree that submission of the attached proposal constitutes acceptance of the solicitation contents and the attached sample contract and general terms and conditions. If there are any exceptions to these terms, I/we have described those exceptions in detail on a page attached to this document.
8. No attempt has been made or will be made by the Bidder to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.
9. Information that has been determined to be proprietary or confidential has been clearly marked and included in this bid as a separate document.
10. If any staff member(s) who will perform work on this contract has retired from the State of Washington under the provisions of the 2008 Early Retirement Factors legislation, his/her name(s) is noted on a separately attached page.
11. I/we declare that we are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded in any Federal department or agency from participating in transactions.

Signature of Bidder

Title

Date

Exhibit D – Sample Contract



CONTRACT NUMBER: N21129	SUBRECIPIENT * <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
FFATA FORM REQUIRED <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	

* see Attachment 2

THIS AGREEMENT is made by and between the state of Washington Department of Health, hereinafter referred to as DOH, and the party whose name appears below, hereinafter referred to as Contractor.

CONTRACTOR NAME and ADDRESS:

XXXXX
 XXXXX
 XXXXX

UBI #: XXX-XXX-XXX

IT IS MUTUALLY AGREED THAT:

PURPOSE: _____

STATEMENT OF WORK: The Contractor shall provide the all necessary personnel, equipment, materials, goods and services and otherwise do all things necessary for or incidental to the performance of the work as described in **Exhibit A**, attached hereto and incorporated herein.

PERIOD OF PERFORMANCE: Subject to its other provisions, the period of performance under this contract shall be **from** ____ **through** ____ unless sooner terminated as provided herein. No billable activity may take place until this contract has been signed by both parties.

DEPARTMENT OF ENTERPRISE SERVICES APPROVAL: This agreement may be required to be filed with the Department of Enterprise Services (DES) for approval under the provisions of Chapter 39.26 RCW. No contract or amendment required to be so filed is effective and no work thereunder shall be commenced nor payment made therefore until ten (10) working days following the date of filing, and, if required, until approved by DES. In the event DES fails to approve the contract or amendment, the contract shall be null and void.

FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT (FFATA): If checked above, this contract is supported by federal funds that require compliance with the Federal Funding Accountability and Transparency Act (FFATA or the Transparency Act). The purpose of the Transparency Act is to make information available online so the public can see how federal funds are spent.

To comply with the act and be eligible to enter into this contract, your organization must have a Data Universal Numbering System (DUNS®) number. A DUNS® number provides a method to verify data about your organization. If you do not already have one, you may receive a DUNS® number free of charge by contacting Dun and Bradstreet at www.dnb.com.

Information about your organization and this contract will be made available on www.USASpending.gov by DOH as required by P.L. 109-282. DOH's form, **Federal Funding Accountability and Transparency Act Data Collection Form**, is considered part of this contract and must be completed and returned along with the contract.

CONSIDERATION: The maximum consideration available under this contract shall not exceed \$.00 without a properly executed written amendment signed by representatives of both parties authorized to do so.

Source of funds: Federal: \$-0- State: \$-0- Other: \$-0- Total: \$0.00

Contractor agrees to comply with all applicable rules and regulations associated with these funds.

Unless otherwise indicated in this contract, any state funds which are unexpended as of June 30th will not be available for carry over into the next state fiscal year (July – June).

INVOICES AND PAYMENT: Contractor will submit invoices to the DOH Project Manager for all amounts to be paid. Invoices must reference this contract number and provide detailed information as requested. All invoices must be approved by DOH prior to payment; approval will not be unreasonably withheld. DOH will authorize payment only upon satisfactory completion and acceptance of deliverables and for allowable costs as outlined in the statement of work and/or budget. DOH will return all incorrect or incomplete invoices and will not pay for services that occur outside the period of performance. The Contractor will not invoice for services if they are entitled to payment, have been, or will be paid by any other source for that service.

DOH will issue payment within 30 days of receiving a correct and complete invoice and approving the deliverable(s). DOH must receive correct and complete invoices within 60 days of the contract expiration date. Late invoices will be paid at the discretion of DOH and are contingent upon the availability of funds. Failure to submit a properly completed IRS form W-9 may result in delayed payments.

GOVERNANCE: In the event of an inconsistency in this contract, unless otherwise provided herein, the inconsistency shall be resolved by giving precedence in the following order:

- Applicable Federal and State statutes and regulations
- Special Terms and Conditions
- Attachment 1, General Terms and Conditions, and Attachment 2, Federal Compliance, and Standard Federal Certifications and Assurances
- Exhibit A, Statement of Work
- Any other provision of the contract whether incorporated by reference or otherwise.

UNDERSTANDING: This contract, including referenced exhibits, attachments & documents included herein by reference, contains all the terms and conditions agreed upon by the parties. No other understandings, oral or otherwise, regarding the subject matter of this contract shall exist or bind any of the parties hereto.

APPROVAL: This contract shall be subject to the written approval of DOH Contracting Officer and shall not be binding until so approved. Only the Contracting Officer or his/her designee, by written delegation made prior to action, shall have the expressed, implied, or apparent authority to alter, amend, modify, or waive any clause or condition of this contract. Furthermore, any alteration, amendment, modification, or waiver of any clause or condition of this contract is not effective or binding unless made in writing and signed by the Contracting Officer.

IN WITNESS WHEREOF: DOH and the Contractor have signed this agreement.

CONTRACTOR SIGNATURE	DATE
print or type name & title below:	
DOH CONTRACTING OFFICER SIGNATURE	DATE

This contract has been approved as to form by the attorney general.

NOTE: THE CONTRACTOR'S SIGNATURE IS ALSO REQUIRED ON ATTACHMENT 2, FEDERAL CERTIFICATIONS AND ASSURANCES (pages XX and XX)

FINAL NEGOTIATED STATEMENT OF WORK WILL BE INSERTED HERE

GENERAL TERMS AND CONDITIONS**I. GENERAL TERMS (DEFINITIONS)**

As used throughout this contract, the following terms shall have the meanings set forth below:

- a) "Allowable Cost" shall mean an expenditure which meets the test of the appropriate OMB Circular (see "III. Federal Compliance"). The most significant factors affecting allowability of cost are; 1) they must be necessary and reasonable, 2) they must be allocable, 3) they must be authorized or not prohibited under state or local laws and regulations, and 4) they must be adequately documented.
- b) "Client" shall mean an agency, firm, organization, individual or other entity applying for or receiving services under this contract.
- c) "Cognizant State Agency" shall mean the state agency from whom the sub-recipient receives federal financial assistance. If funds are received from more than one state agency, the cognizant state agency shall be the agency who contributes the largest portion of federal financial assistance to the sub-recipient, unless a cognizant state agency has been designated by OFM.
- d) "Confidential Information " shall mean information that is exempt from disclosure under chapter 42.56 RCW, and other state or federal statutes and regulations
- e) "Contractor" shall mean that agency, firm, provider, organization, individual or other entity performing services under this contract. It shall include any subcontractor retained by the prime contractor as permitted under the terms of this agreement.
- f) "Contracting Officer" shall mean that individual(s) of the Office of Contract Services of DOH and his/her delegates within that office authorized to execute this agreement on behalf of the Department.
- g) "Department" shall mean the Department of Health (DOH) of the State of Washington, any division, section, office, unit or other entity of the department, or any of the officers or other officials lawfully representing the department.
- h) "Equipment" shall mean an article of non-expendable, tangible property having a useful life of more than one year and an acquisition cost of \$5,000 or more.
- i) "Personal Information" means information identifiable to any person, including, but not limited to, information that relates to a person's name, health, finances, education,

Exhibit D

business, use or receipt of governmental services or other activities, addresses, telephone numbers, social security numbers, driver license numbers, other identifying numbers, and any financial identifiers. Personal information includes “protected health information” as set forth in 45 CFR § 164.50 as currently drafted and subsequently amended or revised and any other information that may be exempt from disclosure to the public or other unauthorized persons under either chapter 42.56 RCW or other state and federal statutes.

- j) "Reimbursement" shall mean that the Department of Health will repay the Contractor for allowable costs incurred under the terms of this contract.
- k) “Sensitive Data” means data that is held confidentially, and if compromised may cause harm to individual citizens or create a liability for the State
- l) “Subcontractor” shall mean a person, partnership, or company, not in the employ of or owned by the contractor, who is performing all or part of those services under a separate contract with or on behalf of the Contractor. The terms “subcontractor” and “subcontractors” mean subcontractor(s) in any tier. See OMB Circular A-133 for additional detail.
- m) A “Subrecipient” is a contractor operating a federal or state assistance program receiving federal funds and having the authority to determine both the services rendered and disposition of program. See OMB Circular A-133 for additional detail.
- n) “Successor” is defined as any entity which, through amalgamation, consolidation, or other legal succession becomes invested with rights and assumes burdens of the first contractor/ vendor.
- o) A “Vendor” is an entity that agrees to provide the amount and kind of services requested by DOH; provides services under the contract only to those beneficiaries individually determined to be eligible by DOH; and, provides services on a fee-for-service or per-unit basis with contractual penalties if the entity fails to meet program performance standards. See OMB Circular A-133 for additional detail.

II. GENERAL CONDITIONS

1. **ACCESS TO DATA** – In compliance with chapter 39.26 RCW, the Contractor shall provide access to data generated under this contract to DOH, the Joint Legislative Audit and Review Committee, and the State Auditor at no additional cost. This includes access to all information that supports the findings, conclusions, and recommendations of the Contractor’s reports, including computer models and methodology for those models. The Contractor agrees to make personal information covered under this agreement available to

DOH for inspection or to amend the personal information, as directed by DOH. Contractor shall, as directed by DOH, incorporate any amendments to the personal information into all copies of such personal information maintained by the Contractor or its subcontractors.

2. **ADVANCE PAYMENTS PROHIBITED** – No payment in advance or in anticipation of services or supplies to be provided under this agreement shall be made by DOH.
3. **AMENDMENTS** – This contract may be amended by mutual written agreement of the parties. Such amendments shall not be binding unless they are in writing and signed by personnel authorized to bind each of the parties.
4. **AMERICANS WITH DISABILITIES ACT (ADA) OF 1990, PUBLIC LAW 101-336, also referred to as the "ADA" 28 CFR Part 35** – The Contractor must comply with the ADA, which provides comprehensive civil rights protection to individuals with disabilities in the areas of employment, public accommodations, state and local government services, and telecommunications.
5. **ASSIGNABILITY** – Neither this contract nor any claim arising under this contract shall be transferred or assigned by the contractor without prior written consent of DOH.
6. **ATTORNEYS' FEES** – In the event of litigation or other action brought to enforce contract terms, each party agrees to bear its own attorney's fees and costs.
7. **CHANGE IN STATUS** - In the event of substantive change in the legal status, organizational structure, or fiscal reporting responsibility of the Contractor, Contractor agrees to notify DOH of the change. Contractor shall provide notice as soon as practicable, but no later than thirty days after such a change takes effect.
8. **CONFIDENTIALITY/SAFEGUARDING OF INFORMATION** – The use or disclosure by any party, either verbally or in writing, of any Confidential Information shall be subject to Chapter 42.56 RCW and Chapter 70.02 RCW, as well as other applicable federal and state laws and administrative rules governing confidentiality. Specifically, the Contractor agrees to limit access to Confidential Information to the minimum amount of information necessary, to the fewest number of people, for the least amount of time required to do the work. The obligations set forth in this clause shall survive completion, cancellation, expiration, or termination of this Agreement.

A. Notification of Confidentiality Breach

Upon a breach or suspected breach of confidentiality, the Contractor shall immediately notify the DOH Privacy Officer at dohprivacyofficer@doh.wa.gov. For the purposes of this Agreement, “immediately” shall mean within two calendar days.

The contractor will take steps necessary to mitigate any known harmful effects of such unauthorized access including, but not limited to sanctioning employees, notifying subjects, and taking steps necessary to stop further unauthorized access. The Contractor agrees to indemnify and hold harmless Agency for any damages related to unauthorized use or disclosure by the Contractor, its officers, directors, employees, Subcontractors or agents.

Any breach of this clause may result in termination of the contract and the demand for return of all Information.

B. Subsequent Disclosure

The Contractor will not release, divulge, publish, transfer, sell, disclose, or otherwise make the Confidential Information known to any other entity or person without the express prior written consent of the Secretary of Health, or as required by law.

If responding to public record disclosure requests under RCW 42.56, the Contractor agrees to notify and discuss with the DOH Privacy Officer requests for all information that are part of this Agreement, prior to disclosing the information. The Contractor further agrees to provide DOH a minimum of two calendar weeks to initiate legal action to secure a protective order under RCW 42.56.540.

- 9. CONFLICT OF INTEREST** – Notwithstanding any determination by the Executive Ethics Board or other tribunal, DOH may, in its sole discretion, by written notice to the Contractor, terminate this contract if it is found, after due notice and examination by DOH or its agent that there is a violation of the ethics in public service act, chapter 42.52 RCW, or any similar statute involving the contractor in the procurement of, or performance of this contract.

In the event this contract is terminated as provided above, DOH shall be entitled to pursue the same remedies against the Contractor as it could pursue in the event of a breach of the contract by the Contractor. The rights and remedies of DOH provided for in this section shall not be exclusive are in addition to any other rights and remedies provided by law. The existence of facts upon which DOH makes a determination under this section shall be an issue and may be reviewed as provided in the “disputes” section of this contract.

- 10. COVENANT AGAINST CONTINGENT FEES** – The Contractor warrants that no person or selling agent has been employed or retained to solicit or secure this contract upon an agreement or understanding for a commission, percentage, brokerage or contingent fee, excepting bona fide employees or bona fide established agents maintained by the Contractor for the purpose of securing business. DOH shall have the right, in the event of breach of this clause by the Contractor, to annul this contract without liability, or in its discretion, to deduct from the contract price or consideration or recover by other means the full amount of such commission, percentage, brokerage or contingent fee.

11. DEBARMENT – The Contractor, by signature to this contract, certifies that the Contractor is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded in any Federal department or agency from participating in transactions. The Contractor agrees to include the above requirement in all subcontracts into which it enters to complete this contract.

12. DISPUTES – The parties shall use their best, good faith efforts to cooperatively resolve disputes and problems that arise in connection with this contract. Both parties will continue without delay to carry out their respective responsibilities under this contract while attempting to resolve the dispute under this section. When a genuine dispute arises between DOH and the Contractor regarding the terms of this agreement or the responsibilities imposed herein which cannot be resolved at the project management level, either party may submit a request for a dispute resolution to the DOH Contracts Unit which shall oversee the following dispute resolution process: DOH shall appoint a representative to a dispute panel; the Contractor shall appoint a representative to the dispute panel; DOH's and Contractor's representatives shall mutually agree on a third person to chair the dispute panel. The dispute panel shall thereafter decide the dispute with the majority prevailing.

A party's request for a dispute resolution must:

- be in writing,
- state the disputed issues,
- state the relative positions of the parties,
- state the Contractor's name, address, and his/her department contract number,
- be mailed to ATTN: Contracts and Procurement Manager, DOH Contracts Unit, PO Box 47905, Olympia, WA 98504-7905 within thirty (30) calendar days after the party could reasonably be expected to have knowledge of the issue which he/she now disputes.

This dispute resolution process constitutes the sole administrative remedy available under this contract. The parties agree that this resolution process shall precede any action in a judicial and quasi-judicial tribunal.

13. EFFECTIVE DATE – Unless otherwise specified under period of performance, the effective date of this agreement and subsequent amendments, if any, is the date of execution. The date of execution is the last date of signature of the parties to the agreement. No billable activity may take place prior to the date of execution. Contractor assumes all liability for any expenses incurred prior to the date of execution or in the event the agreement/amendment is not executed.

14. GOVERNING LAW – This contract shall be governed by the laws of the state of Washington and applicable federal laws and regulations. The venue of any legal action or

suit concerning this agreement shall be the Thurston County Superior Court and all actions or suits thereon shall be brought therein.

15. INDEMNIFICATION – To the fullest extent permitted by law, Contractor shall indemnify, defend and hold harmless the state of Washington, DOH, agencies of the State and all officials, agents and employees of the State, from and against all claims arising out of or resulting from the performance of the contract. “Claim” as used in this agreement means any financial loss, claim, suit, action, damage, or expense, including but not limited to attorney’s fees, attributable for bodily injury, sickness, disease or death, or injury to or destruction of tangible property including loss of use resulting therefrom. Contractor’s obligation to indemnify, defend, and hold harmless includes any claim by Contractors’ agents, employees, representatives, or any subcontractor or its employees.

Contractor expressly agrees to indemnify, defend, and hold harmless the State for any claim arising out of or incident to Contractor’s or any subcontractor’s performance or failure to perform the contract. Contractor’s obligation to indemnify, defend, and hold harmless the State shall not be eliminated or reduced by any actual or alleged concurrent negligence of State or its agents, agencies, employees and officials.

Contractor waives its immunity under Title 51 RCW to the extent it is required to indemnify, defend and hold harmless State and its agencies, officials, agents or employees.

16. INDEPENDENT CAPACITY OF THE CONTRACTOR – The parties intend that an independent contractor relationship will be created BY this contract. The Contractor and his or her employees or agents performing under the contract are not employees or agents of DOH. The contractor shall not hold himself/herself out as nor claim to be an officer or employee of DOH or of the state of Washington by reason hereof, nor will the Contractor make any claim of right, privilege or benefit which would accrue to such employee under law. Conduct and control of the work will be solely with the Contractor.

17. INDUSTRIAL INSURANCE COVERAGE – The Contractor shall comply with the provisions of Title 51 RCW, Industrial Insurance. Prior to performing work under this contract, the Contractor shall provide or purchase industrial insurance coverage for the Contractor’s employees, as may be required of an “employer” as defined in Title 51 RCW, and shall maintain full compliance with Title 51RCW during the course of this contract. If the Contractor fails to provide industrial insurance coverage or fails to pay premiums or penalties on behalf of its employees as may be required by law, DOH may collect from the Contractor the full amount payable to the Industrial Insurance accident fund. DOH may deduct the amount owed by the Contractor to the accident fund from the amount payable to the Contractor by DOH under this contract, and transmit the deducted amount to the Department of Labor and Industries, Division of Insurance Services. This provision does not waive any of the Department of Labor and Industries rights to collect from the Contractor.

Industrial insurance coverage through the Department of Labor & Industries is optional for sole proprietors, partners, corporate officers and others, per RCW 51.12.020.

- 18. INSURANCE** – The Contractor shall provide insurance coverage as set out in this section. The intent of the required insurance is to protect the State should there be any claims, suits, actions, costs, damages or expenses arising from any negligent or intentional act or omission of the Contractor or subcontractor, or agents of either, while performing under the terms of this contract.

The Contractor shall provide insurance coverage which shall be maintained in full force and effect during the term of this Contract, as follows:

- A. Commercial General Liability Insurance Policy - Provide a commercial general liability insurance policy, including contractual liability, in adequate quantity to protect against legal liability arising out of contract activity but no less than \$1,000,000 per occurrence. Additionally, the Contractor is responsible for ensuring that any subcontractors provide adequate insurance coverage for the activities arising out of subcontracts.
- B. Automobile Liability. In the event that services delivered pursuant to this contract involve the use of vehicles, either owned or unowned by the Contractor, automobile liability insurance shall be required. The minimum limit for automobile liability is:
 - 1. \$1,000,000 per occurrence, using a combined single limit for bodily injury and property damage
- C. The insurance required shall be issued by an insurance company/ies authorized to do business within the state of Washington, and shall name the state of Washington, its agents and employees as additional insureds under the insurance policy/ies. All policies shall be primary to any other valid and collectable insurance. Contractor shall instruct the insurers to give DOH 30 days advance notice of any insurance cancellation.

Upon request, Contractor shall submit to DOH, a certificate of insurance which outlines the coverage and limits defined in the *Insurance* section. If a certificate of insurance is requested, Contractor shall submit renewal certificates as appropriate during the term of the contract.

- 19. LICENSING, ACCREDITATION AND REGISTRATION** – The Contractor shall comply with all applicable local, state, and federal licensing, accreditation and registration requirements/standards, necessary for the performance of this contract.

- 20. LIMITATION OF AUTHORITY** – Only the Contracting Officer or his/her delegate by writing (delegation to be made prior to action) shall have the express, implied, or apparent authority to alter, amend, modify, or waive any clause or condition of this contract on behalf of DOH. No alteration, modification, or waiver of any clause or condition of this contract is effective or binding unless made in writing and signed by the Contracting Officer.

21. NONDISCRIMINATION – During the performance of this contract, the Contractor shall comply with all federal and state nondiscrimination laws, regulations and policies.

22. NONDISCRIMINATION LAWS NONCOMPLIANCE – In the event of the Contractor's noncompliance or refusal to comply with any nondiscrimination law, regulation, or policy, this contract may be rescinded, canceled or terminated in whole or in part, and the Contractor may be declared ineligible for further contracts with DOH. The Contractor shall, however, be given a reasonable time in which to cure this noncompliance. Any dispute may be resolved in accordance with the disputes procedure set forth herein.

23. OVERPAYMENTS AND ASSERTION OF LIEN – In the event that DOH establishes overpayments or erroneous payments made to the Contractor under this contract, DOH may secure repayment, plus interest, if any, through the filing of a lien against the Contractor's real property, or by requiring the posting of a bond, assignment or deposit, or some other form of security acceptable to DOH, or by doing both.

24. PRIVACY – Personal information including, but not limited to “protected health information” collected, used or acquired in connection with this contract shall be used solely for the purposes of this contract. Contractor and its subcontractors agree not to release, divulge, publish, transfer, sell or otherwise make known to unauthorized persons personal information without the express written consent of DOH or as provided by law. Contractor agrees to implement physical, electronic and managerial safeguards to prevent unauthorized access to personal information.

The DOH reserves the right to monitor, audit, or investigate the use of personal information collected, used or acquired by the contractor through this contract. The monitoring, auditing, or investigating may include but is not limited to "salting" by DOH. Contractor shall certify the return or destruction of all personal information upon expiration of this contract. Salting is the act of placing a record containing unique but false information in a database that can be used later to identify inappropriate disclosure of data contained in the database.

Any breach of this provision may result in termination of the contract and the demand for return of all personal information. The contractor agrees to indemnify and hold harmless DOH for any damages related to the contractor's unauthorized use of personal information.

For the purposes of this provision, personal information includes but is not limited to information identifiable to an individual that relates to a natural person's health, finances, education, business, use or receipt of governmental services, or other activities, names, addresses, telephone numbers, social security numbers, driver license numbers, financial profiles, credit card numbers, financial identifiers and other identifying numbers.

25. PUBLICITY – The Contractor agrees to submit to DOH all advertising and publicity matters relating to this Contract wherein DOH's name is mentioned or language used from which

the connection of DOH's name may, in DOH's judgment, be inferred or implied. The Contractor agrees not to publish or use such advertising and publicity matters without the prior written consent of DOH.

26. RECORDS, DOCUMENTS, AND REPORTS –The Contractor shall maintain books, records, documents, data and other evidence relating to this contract and performance of the services described herein, including but not limited to accounting procedures and practices which sufficiently and properly reflect all direct and indirect costs of any nature expended in the performance of this contract. Contractor shall retain such records for a period of six (6) years following the date of final payment. At no additional cost, these records, including materials generated under the contract, shall be subject at all reasonable times to inspection, review or audit by DOH, personnel duly authorized by DOH, the office of the state auditor, and federal and state officials so authorized by law, regulation or agreement.

If the contract reimburses the Contractor for costs incurred in performance, the Contractor shall in addition maintain books, records, documents and other evidence of procedures and practices which sufficiently and properly reflect all direct and indirect costs of any nature expended in the performance of this agreement.

If any litigation, claim or audit is started before the expiration of the six (6) year period, the records shall be retained until all litigation, claims, or audit findings involving the records have been resolved.

27. REGISTRATION WITH DEPARTMENT OF REVENUE – The Contractor shall complete registration with the Washington State Department of Revenue, if applicable, and be responsible for payment of all taxes due on payments made under this contract.

28. RIGHT OF INSPECTION – The Contractor shall provide right of access to its facilities to DOH, or any of its officers, or to any other authorized agent or official of the state of Washington or the federal government, at all reasonable times, in order to monitor and evaluate performance, compliance, and/or quality assurance under this contract. The Contractor shall make available information necessary for DOH to comply with the client's right to access, amend, and receive an accounting of disclosures of their Personal Information according to the Health Insurance Portability and Accountability Act of 1996 (HIPAA) or any regulations enacted or revised pursuant to the HIPAA provisions and applicable provisions of Washington State law. The Contractor's internal policies and procedures, books, and records relating to the safeguarding, use, and disclosure of personal information obtained or used as a result of this contract shall be made available to DOH and the U.S. Secretary of the Department of Health & Human Services, upon request.

29. RIGHTS IN DATA/COPYRIGHT – Unless otherwise provided, all materials produced exclusively under this contract shall be considered "works for hire" as defined by the U.S. Copyright Act and shall be owned by DOH. DOH shall be considered the author of such Materials. In the event the Materials are not considered "works for hire" under the U.S. Copyright laws, Contractor hereby irrevocably assigns all right, title, and interest in Materials, including all intellectual property rights, to DOH effective from the moment of creation of such materials.

Materials means all items in any format and includes, but is not limited to, data, reports, documents, pamphlets, advertisements, books, magazines, surveys, studies, computer programs, films, tapes, and/or sound reproductions that derive exclusively from the Contractor's work under this contract. Ownership includes the right to copyright, patent, register and the ability to transfer these rights.

For materials that are delivered under the contract, but that incorporate pre-existing materials not produced under the contract, Contractor hereby grants to DOH a nonexclusive, royalty-free, irrevocable license (with rights to sublicense others) in such materials to translate, reproduce, distribute, prepare derivative works, publicly perform, and publicly display. The Contractor warrants and represents that Contractor has all rights and permissions, including intellectual property rights, moral rights and rights of publicity, necessary to grant such a license to DOH.

The Contractor shall exert all reasonable effort to advise DOH, at the time of delivery of materials furnished under this contract, of all known or potential invasions of privacy contained therein and of any portion of such document which was not produced in the performance of this contract. DOH shall receive prompt written notice of each notice or claim of copyright infringement received by the Contractor with respect to any data delivered under this contract. DOH shall have the right to modify or remove any restrictive markings placed upon the data by the Contractor.

30. SECURITY OF INFORMATION – Unless otherwise specifically authorized by the DOH IT Security Officer, Contractor receiving confidential information under this contract assures that:

- It is compliant with the applicable provisions of the Washington State Office of the Chief Information Officer's policy, Securing Information Technology Assets, available at <http://ofm.wa.gov/ocio>.
- It will provide DOH copies of its IT security policies, practices and procedures upon the request of the DOH IT Security Officer.
- DOH may at any time conduct an audit of the Contractor's security practices and/or infrastructure to assure compliance with the security requirements of this Agreement.
- It has implemented physical, electronic and administrative safeguards that are consistent with ISB IT security standards and guidelines to prevent unauthorized access, use, modification or disclosure of DOH Confidential Information in any form.

Exhibit D

This includes, but is not limited to, restricting access to specifically authorized individuals and services through the use of:

- Documented access authorization and change control procedures;
- Card key systems that restrict, monitor and log access;
- Locked racks for the storage of servers that contain Confidential Information or AES encryption (128bit or stronger) to protect confidential data at rest;
- Documented patch management practices that assure all network systems are running critical security updates within 6 days of release when the exploit is in the wild, and within 30 days of release for all others;
- Documented anti-virus strategies that assure all systems are running the most current anti-virus signatures within 1 day of release;
- Complex passwords that are systematically enforced and expire at least every 180 days;
- Strong (Two Factor) authentication mechanisms that assure the identity of individuals who access Confidential Information;
- Account lock-out after 5 failed authentication attempts for a minimum of 20 minutes, or for Confidential Information, until administrator reset;
- AES encrypted (128bit or stronger) sessions for all data transmissions.
- Firewall rules and network address translation that isolate database servers from web servers and public networks;
- Regular review of firewall rules and configurations to assure compliance with authorization and change control procedures;
- Log management and intrusion detection/prevention systems;
- A documented and tested incident response plan

Any breach of this clause may result in termination of the contract and the demand for return of all personal information.

31. SEVERABILITY – If any provision of this agreement or any provision of any document incorporated by reference shall be held invalid, such invalidity shall not affect the other provisions of this agreement which can be given effect without the invalid provision, and to this end the provisions of this agreement are declared to be severable.

32. SITE SECURITY – While on DOH premises, Contractor, its agents, employees, or subcontractors shall conform in all respects with physical, fire or other security policies or

regulations. Failure to comply with these regulations may be grounds for revoking or suspending security access to these facilities. DOH reserves the right and authority to immediately revoke security access to Contractor staff for any real or threatened breach of this provision. Upon reassignment or termination of any Contractor staff, Contractor agrees to promptly notify DOH.

33. SUBCONTRACTING – Neither the Contractor, nor any subcontractors, shall enter into subcontracts for any of the work contemplated under this agreement without prior written approval of DOH. In no event shall the existence of the subcontract operate to release or reduce the liability of the contractor to DOH for any breach in the performance of the contractor's duties. This clause does not apply to Hospitals and/or Medical Clinics that must contract with specialty physicians (e.g. anesthesiologists, radiologists, physicians groups, independent practitioners, etc) nor does it include contracts of employment between the contractor and personnel assigned to work under this contract.

Additionally, the Contractor is responsible for ensuring that all terms, conditions, assurances and certifications set forth in this agreement are carried forward to any subcontracts. Contractor and its subcontractors agree not to release, divulge, publish, transfer, sell or otherwise make known to unauthorized persons personal information without the express written consent of DOH or as provided by law.

If, at any time during the progress of the work, DOH determines in its sole judgment that any subcontractor is incompetent or undesirable, DOH shall notify the Contractor, and the Contractor shall take immediate steps to terminate the subcontractor's involvement in the work.

The rejection or approval by DOH of any subcontractor or the termination of a subcontractor shall not relieve the Contractor of any of its responsibilities under the contract, nor be the basis for additional charges to DOH.

DOH has no contractual obligations to any subcontractor or vendor under contract to the Contractor. The Contractor is fully responsible for all contractual obligations, financial or otherwise, to their subcontractors.

34. SURVIVABILITY – The terms and conditions contained in this contract which by their sense and context, are intended to survive the completion, cancellation, termination, or expiration of the contract shall survive, including but not limited to clauses 1, 8, 13, 14, 23, 24 and 29.

35. SUSPENSION OF PERFORMANCE AND RESUMPTION OF PERFORMANCE – In the event contract funding from state, federal, or other sources is withdrawn, reduced, or limited in any way after the effective date of this contract and prior to normal completion, DOH may give notice to Contractor to suspend performance as an alternative to termination. DOH may elect to give written notice to Contractor to suspend performance when DOH determines that there is a reasonable likelihood that the funding insufficiency may be resolved in a timeframe that would allow performance to be resumed prior to the end date of this contract. Notice may include notice by facsimile or email to Contractor's representative.

Contractor shall suspend performance on the date stated in the written notice to suspend. During the period of suspension of performance each party may inform the other of any conditions that may reasonably affect the potential for resumption of performance.

When DOH determines that the funding insufficiency is resolved, DOH may give Contractor written notice to resume performance and a proposed date to resume performance. Upon receipt of written notice to resume performance, Contractor will give written notice to DOH as to whether it can resume performance, and, if so, the date upon which it agrees to resume performance. If Contractor gives notice to DOH that it cannot resume performance, the parties agree that the Contract will be terminated retroactive to the original date of termination. If the date Contractor gives notice it can resume performance is not acceptable to DOH, the parties agree to discuss an alternative acceptable date. If an alternative date is not acceptable to DOH, the parties agree that the Contract will be terminated retroactive to the original date of termination.

36. TAXES – All payments accrued on account of payroll taxes, unemployment contributions, any other taxes, insurance or other expenses for the Contractor or its staff shall be the sole responsibility of the Contractor.

37. TERMINATION FOR CONVENIENCE – Except as otherwise provided in this contract, the Contracting Officer may, by TEN (10) calendar days written notice, beginning on the second day after the mailing, terminate this contract in whole or in part when it is in the best interests of DOH.

If this contract is so terminated, DOH shall be liable only for payment in accordance with the terms of this contract for services rendered prior to the effective date of termination.

38. TERMINATION FOR DEFAULT – In the event DOH determines the contractor has failed to comply with the conditions of this contract in a timely manner, DOH has the right to suspend or terminate this contract. Further, DOH may terminate this contract for default, in whole or in part, if DOH has a reasonable basis to believe that the contractor has:

- A. Failed to meet or maintain any requirement for contracting with DOH;
- B. Failed to ensure the health or safety of any client for whom services are being provided under this contract;
- C. Failed to perform under, or otherwise breached, any term or condition of this contract; and/or
- D. Violated any applicable law or regulation.

Before suspending or terminating the contract, DOH shall notify the contractor in writing of the need to take corrective action. If corrective action is not taken within fourteen (14) days, the contract may be terminated or suspended. In the event of termination or suspension, the contractor shall be liable for damages as authorized by law including, but not limited to, any cost difference between the original contract and the replacement or cover contract and all administrative costs directly related to the replacement contract, e.g., cost of the competitive bidding, mailing, advertising and staff time. DOH reserves the right to suspend

all or part of the contract, withhold further payments, or prohibit the contractor from incurring additional obligations of funds during investigation of the alleged compliance breach and pending corrective action by the contractor or a decision by DOH to terminate the contract. A termination shall be deemed to be a “termination for convenience” if it is determined that the contractor: (1) was not in default; or (2) failure to perform was outside of his or her control, fault or negligence. The rights and remedies of DOH provided in this contract are not exclusive and are in addition to any other rights and remedies provided by law.

39. TERMINATION PROCEDURE – Upon termination of this agreement DOH may require the Contractor to deliver to DOH any property specifically produced or acquired for the performance of such part of this agreement as has been terminated. The provisions of the *Treatment of Assets* clause shall apply in such property transfer.

DOH shall pay to the Contractor the agreed upon price, if separately stated, for completed work and services accepted by DOH. In addition DOH shall pay the amount agreed upon by the Contractor and the Contracting Officer for (a) completed work and services for which no separate price is stated, (b) partially completed work and services, (c) other property or services which are accepted by DOH, and (d) the protection and preservation of the property. If the termination is for default, the Contracting Officer shall determine the extent of the liability of DOH. Failure to agree with such determination shall be a dispute within the meaning of the *Disputes* clause of this contract.

DOH may withhold from any amounts due the Contractor for such completed work or services such sum as the Contracting Officer determines to be necessary to protect DOH against potential loss or liability.

The rights and remedies of DOH provided in this section shall not be exclusive and are in addition to any other rights and remedies provided by law or under this agreement.

After receipt of a notice of termination, and except as otherwise directed by the Contracting Officer, the Contractor shall:

- Stop work under the agreement on the date and to the extent specified in the notice;
- Place no further orders or subcontracts for materials, services, facilities except as necessary to complete such portion of the work not terminated;
- Assign to DOH, to the extent directed by the Contracting Officer, all of the rights, titles, and interest of the Contractor under the orders and subcontracts in which case DOH has the right, at its discretion, to settle or pay any or all claims arising out of the termination of such orders and subcontracts.
- Settle all outstanding liabilities and all claims arising out of orders or subcontracts, with the approval or ratification of the Contracting Officer to the extent he/she may require, which approval or ratification shall be final for all the purposes of this clause;

Exhibit D

- Transfer title to DOH and deliver, as directed by the Contracting Officer, any property which, if the agreement had been completed, would have been required to be furnished to DOH;
- Complete performance of such part of the work not terminated by the Contracting Officer; and,
- Take such action as may be necessary, or as the Contracting Officer may direct, for the protection and preservation of the property related to this agreement which is in the possession of the Contractor and in which DOH has or may acquire an interest.

40. TREATMENT OF ASSETS – Equipment purchases, title, and treatment of assets are determined by fund source. OMB Circular A-102 and/or the Washington State Office of Financial Management’s “OFM Directive A95-05” (effective July 1, 1995) regulate treatment of assets. Equipment acquisitions must be included in the official contract budget.

41. WAIVER OF DEFAULT – Waiver of any default or breach shall not be deemed to be a waiver of any subsequent default or breach. Any waiver shall not be construed to be a modification of the terms of this Contract unless stated to be such in writing and signed by authorized representative of DOH.

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ATTACHMENT 2

**FEDERAL COMPLIANCE
AND STANDARD FEDERAL CERTIFICATIONS AND ASSURANCES**

In the event federal funds are included in this agreement, added by future amendment(s), or redistributed between fund sources resulting in the provision of federal funds, the following sections apply: I. Federal Compliance and II. Standard Federal Assurances and Certifications. In the instance of inclusion of federal funds as a result of an amendment, the Contractor may be designated as a subrecipient and the effective date of the amendment shall also be the date at which these requirements go into effect

- I. **FEDERAL COMPLIANCE** - The use of federal funds requires additional compliance and control mechanisms to be in place. The following represents the majority of compliance elements that may apply to any federal funds provided under this contract. (Refer to Catalog of Domestic Assistance number(s) cited in the "Payment" section of this contract for requirements specific to that fund source.) For clarification regarding any of these elements or details specific to the federal funds in this contract, contact:

Compliance and Internal Control Officer
Office of Financial Services
Department of Health
Post Office Box 47901
Olympia, Washington 98504-7901

- 1. **CIRCULARS 'COMPLIANCE MATRIX'** - The following compliance matrix identifies the OMB Circulars that contain the requirements which govern expenditure of federal funds. These requirements apply to the Department of Health, as the primary recipient of federal funds, and then follow the funds to the subrecipient. The federal Circulars which provide the applicable administrative requirements, cost principles and audit requirements are identified by subrecipient organization type.

COMPLIANCE MATRIX

ENTITY TYPE	OMB CIRCULAR		
	ADMINISTRATIVE REQUIREMENTS	COST PRINCIPLES	AUDIT REQUIREMENTS
State, Local and Indian Tribal Governments & Governmental Hospitals	A-102 & Common Rule	A-87	A-133
Non-Profit Organizations & Non-Profit Hospitals	A-110	A-122	A-133
Colleges or Universities & Affiliated Hospitals	A-110	A-21	A-133

2. **CITIZENSHIP/ALIEN VERIFICATION/DETERMINATION** - The Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996 (PL 104-193) states that federal public benefits should be made available only to U.S. citizens and qualified aliens. Entities that offer a service defined as a “federal public benefit” must make a citizenship/qualified alien determination/verification of applicants at the time of application as part of the eligibility criteria. Non-US citizens and unqualified aliens are not eligible to receive the services. PL 104-193 also includes specific reporting requirements. Exemptions from the determination/verification requirement is afforded the following programs offered by the Department of Health: Family Planning, Breast & Cervical Health Program (BCHP), Special Supplemental Nutrition Program for Women, Infants, and Children (WIC), WIC Farmers Market Program, Immunization Programs, and Ryan White CARE Act programs and other communicable disease treatment and diagnostic programs.

 3. **CIVIL RIGHTS AND NONDISCRIMINATION** - During the performance of this agreement, the Contractor shall comply with all current and future federal statutes relating to nondiscrimination. These include but are not limited to: Title VI of the Civil Rights Act of 1964 (PL 88-352), Title IX of the Education Amendments of 1972 (20 U.S.C. §§ 1681-1683 and 1685-1686), section 504 of the Rehabilitation Act of 1973 (29 U.S.C. § 794), the Age Discrimination Act of 1975 (42 U.S.C. §§ 6101-6107), the Drug Abuse Office and Treatment Act of 1972 (PL 92-255), the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (PL 91-616), §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290dd-3 and 290ee-3), Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), and the Americans with Disability Act (42 U.S.C., Section 12101 et seq.).

 4. **SINGLE AUDIT ACT** - A subrecipient (including private, for-profit hospitals and non-profit institutions) shall adhere to the federal Office of Management and Budget (OMB) Circular A-133, as well as all applicable federal and state statutes and regulations. A subrecipient who expends \$500,000 or more in federal awards during a given fiscal year shall have a single or program-specific audit for that year in accordance with the provisions of OMB Circular A-133.
- II. STANDARD FEDERAL CERTIFICATIONS AND ASSURANCES** - Following are the Assurances, Certifications, and Special Conditions that apply to all federally funded (in whole or in part) agreements administered by the Washington State Department of Health.

CERTIFICATIONS

1. CERTIFICATION REGARDING DEBARMENT AND SUSPENSION

The undersigned (authorized official signing for the contracting organization) certifies to the best of his or her knowledge and belief, that the contractor, defined as the primary participant in accordance with 45 CFR Part 76, and its principals:

Exhibit D

- A. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency;
- B. have not within a 3-year period preceding this contract 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 or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- D. have not within a 3-year period preceding this contract had one or more public transactions (Federal, State, or local) terminated for cause or default.

Should the contractor not be able to provide this certification, an explanation as to why should be placed after the assurances page in the contract.

The contractor agrees by signing this contract that it will include, without modification, the clause titled *Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion--Lower Tier Covered Transactions* in all lower tier covered transactions (i.e., transactions with sub-grantees and/or contractors) and in all solicitations for lower tier covered transactions in accordance with 45 CFR Part 76.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

The undersigned (authorized official signing for the contracting organization) certifies that the contractor will, or will continue to, provide a drug-free workplace in accordance with 45 CFR Part 76 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
 - i. The dangers of drug abuse in the workplace;
 - ii. The contractor's policy of maintaining a drug-free workplace;
 - iii. Any available drug counseling, rehabilitation, and employee assistance programs;and

Exhibit D

- iv. 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 contract be given a copy of the statement required by paragraph (a) above;
- D. Notifying the employee in the statement required by paragraph (a), above, that, as a condition of employment under the contract, the employee will—
- i. Abide by the terms of the statement; and
 - ii. 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 the agency 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 contract officer or other designee on whose contract 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) (ii), with respect to any employee who is so convicted—
- i. 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
 - ii. 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).

For purposes of paragraph (e) regarding agency notification of criminal drug convictions, DOH has designated the following central point for receipt of such notices:

Compliance and Internal Control Officer
Office of Grants Management
WA State Department of Health
PO Box 47905
Olympia, WA 98504-7905

3. CERTIFICATION REGARDING LOBBYING

Title 31, United States Code, Section 1352, entitled "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions," generally prohibits recipients of Federal grants and cooperative agreements from using Federal (appropriated) funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a SPECIFIC grant or cooperative agreement. Section 1352 also requires that each person who requests or receives a Federal grant or cooperative agreement must disclose lobbying undertaken with non-Federal (nonappropriated) funds. These requirements apply to grants and cooperative agreements EXCEEDING \$100,000 in total costs (45 CFR Part 93).

The undersigned (authorized official signing for the contracting organization) certifies, to the best of his or her knowledge and belief, that:

- A. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee 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.
- B. If any funds other than Federally 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, a 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 undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. (If needed, Standard Form-LLL, "Disclosure of Lobbying Activities," its instructions, and continuation sheet are included at the end of this application form.)
- C. The undersigned shall require that the language of this certification be included in the award documents for all subcontracts at all tiers (including subcontracts, subcontracts, and contracts under grants, loans and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

4. CERTIFICATION REGARDING PROGRAM FRAUD CIVIL REMEDIES ACT (PFCRA)

The undersigned (authorized official signing for the contracting organization) certifies that the statements herein are true, complete, and accurate to the best of his or her knowledge, and that he or she is aware that any false, fictitious, or fraudulent statements or claims may subject him or her to criminal, civil, or administrative penalties. The undersigned agrees that the contracting organization will comply with the Public Health Service terms and conditions of award if a contract is awarded.

5. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, education or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law also applies to children’s services that are provided in indoor facilities that are constructed, operated, or maintained with such Federal funds. The law does not apply to children’s services provided in private residence, portions of facilities used for inpatient drug or alcohol treatment, service providers whose sole source of applicable Federal funds is Medicare or Medicaid, or facilities where WIC coupons are redeemed.

Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 for each violation and/or the imposition of an administrative compliance order on the responsible entity.

By signing the certification, the undersigned certifies that the contracting organization will comply with the requirements of the Act and will not allow smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act.

The contracting organization agrees that it will require that the language of this certification be included in any subcontracts which contain provisions for children’s services and that all subrecipients shall certify accordingly.

The Public Health Services strongly encourages all recipients to provide a smoke-free workplace and promote the non-use of tobacco products. This is consistent with the PHS mission to protect and advance the physical and mental health of the American people.

6. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS INSTRUCTIONS FOR CERTIFICATION

By signing and submitting this proposal, the prospective contractor is providing the certification set out below.

- A. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective contractor shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective contractor to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

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- B. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective contractor knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.
- C. The prospective contractor shall provide immediate written notice to the department or agency to whom this contract is submitted if at any time the prospective contractor learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- D. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the person to whom this contract is submitted for assistance in obtaining a copy of those regulations.
- E. The prospective contractor agrees by submitting this contract that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by DOH.
- F. The prospective contractor further agrees by submitting this contract that it will include the clause titled Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transaction, provided by HHS, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- G. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List (of excluded parties).
- H. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- I. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, DOH may terminate this transaction for cause or default.

7. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS

- A. The prospective contractor certifies to the best of its knowledge and belief, that it and its principals:
 - i. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - ii. Have not within a three-year period preceding this contract 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;
 - iii. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - iv. Have not within a three-year period preceding this contract had one or more public transactions (Federal, State or local) terminated for cause or default.

- B. Where the prospective contractor is unable to certify to any of the statements in this certification, such prospective contractor shall attach an explanation to this contract.

CONTRACTOR'S SIGNATURE IS REQUIRED

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
Please also print or type name:	
ORGANIZATION NAME: (if applicable)	DATE

FEDERAL ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the contractor, I certify that the contractor:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits

- discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
 8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
 9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
 10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
 11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
 12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

CONTRACTOR'S SIGNATURE IS REQUIRED

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
Please also print or type name:	
ORGANIZATION NAME: (if applicable)	DATE