

# **REQUEST FOR PROPOSAL**

## **PSYCHOLOGY SERVICES (1,510 Hours Annually)**

**For the Period of**

**FY 2012 – July 1, 2011 through June 30, 2012**

**and**

**FY 2013 – July 1, 2012 through June 30, 2013**

**Ohio Department of Developmental Disabilities (DODD)  
Northwest Ohio Developmental Center  
Tiffin Developmental Center**

**Mail to:**

**600 North River Road  
Tiffin, Ohio 44883  
419-447-1450  
FAX 419-447-5829  
TDD 419-447-0107**

**Contracts subject to appropriation availability and approval of  
DODD and, if applicable, the Controlling Board, State of Ohio**

## **1.0 INTRODUCTION**

- 1.1 Northwest Ohio Developmental Center (NODC) and Tiffin Developmental Center (TDC) intend to jointly select a contractor through this Request for Proposal (RFP) process to provide psychological services to individuals residing at these two residential facilities. The selected contractor will be expected to provide up to 410 annual hours of service at NODC and 1,100 annual hours of service at TDC.
- 1.2 NODC and TDC are Medicaid-certified Intermediate Care Facilities for the Mentally Retarded (ICF/MR), operated by the DODD. Both facilities serve persons with mental retardation and a wide range of other disabilities. NODC serves 126 individuals and TDC serves 128 individuals.

## **2.0 GENERAL SPECIFICATIONS**

- 2.1 Contractor shall perform all services rendered in accordance with all applicable state of Ohio, Ohio DODD regulations/licensure requirements, federal and state Medicaid (ICF/MR) regulations, Northwest Ohio Developmental Center (NODC) and Tiffin Developmental Center (TDC) policies and procedures, and any and all other regulatory statutes and/or procedures NODC or TDC desire to institute at any time during the contract period.
- 2.2 Contractor shall perform all services rendered in accordance with the service provider's licensure/certification requirements and the code of ethics established by the discipline/profession and/or state of Ohio licensing board.
- 2.3 Contractor shall perform all services as stipulated herein by NODC and TDC.
- 2.4 Contractor shall present prior to initiating services, and maintain current throughout the contracting period, all professional licenses, certifications, and registrations.
- 2.5 Contractor shall provide written service delivery documentation for each unit of service rendered in accordance with established facility procedures and documentation systems.
- 2.6 Contractor shall provide a written monthly work schedule; all subsequent changes must be approved by NODC or TDC at least one (1) week in advance of the change. No individual(s) performing services under the terms of this contract shall be permitted to work more than forty (40) hours per week.
- 2.7 Contractor shall attend all meetings related to the assigned client caseload as well as any other meetings deemed necessary by NODC or TDC.
- 2.8 Contractor shall not knowingly employ individuals to provide services to NODC or TDC who have been convicted or who have plead guilty to a violation of offenses set forth in Section 5123.081(1) or (2) or Section 5123.081(3) of the Ohio Revised Code.

- 2.9 Contractor shall certify that all its employees, while working at the Northwest Ohio Developmental Center or Tiffin Developmental Center, will not purchase, transfer, use, be under the influence of, or possess illegal drugs or alcohol, or abuse prescription drugs in any way.
- 2.10 NODC and TDC reserve the expressed right and authority to designate the number of individuals who can provide any specific service required under the contract and to reject any individual service provider who fails to meet the centers' standards and established minimum qualifications.
- 2.11 Contractor shall comply with all applicable provisions of the Rehabilitation Act of 1973 and the Americans with Disabilities Act (ADA), both in the provision of specified services and in its employment practices.

### **3.0 PERFORMANCE OBJECTIVES**

- 3.1 Promote individual well-being by providing assessments to assist team members in service delivery.
- 3.2 Assist in the coordination of admissions and discharges in compliance with level of care and Ohio Revised Code statutes.

### **4.0 SERVICES REQUIRED**

- 4.1 The services consist of all items listed herein for Northwest Ohio Developmental center and Tiffin Developmental Center including all required labor, transportation, materials and equipment (including items not specifically noted or shown as required to complete service, subject to any exclusions listed below). It is the intent of this document that vendors provide a single proposal covering all categories of work for this service.
- 4.2 Manage Behavior Support Plans for all individuals as needed.
- 4.3 Facilitate any Special Team Meetings to review Behavior Support Plans as needed.
- 4.4 Provide input to the team regarding decisions made about medications used to control behaviors and treat mental illness.
- 4.5 Function as a member of the Interdisciplinary Team when needed.
- 4.6 Complete psychological reports for individuals on caseload every three (3) years or as needed (for new admissions, placements, probate court hearings, etc.) The psychologist may also attend and testify in court hearings.
- 4.7 Develop, write, monitor and train staff on Behavior Support Plans, which are required for individuals with behavior problems.
- 4.8 Monitor and track psychotropic medication and Behavior Support Plans to integrate these two methods of treatment.
- 4.9 Present training programs to direct care staff as needed.

- 4.10 Serve as chairperson/member of this Center's Behavior Support/Human Rights Committee, as needed.
- 4.11 Perform other related duties as determined necessary by NODC or TDC.
- 4.12 Provide consultation/assessment to County Boards as needed.
- 4.13 Contractor shall provide services at each Center on a schedule that meets the needs of the Interdisciplinary Team and individuals up to 25 hours per week at TDC and up to 13.5 hours per week at NODC. Schedule to be predetermined as indicated in General Specifications, above.

**Any modifications, variations, or addendums to the above-specified duties or services shall result in the immediate disqualification of that bid.**

## **5.0 SPECIAL CONSIDERATIONS**

- 5.1 The offeror shall identify the person(s) providing services under this RFP. Said person must:
  - 5.1.1 Be an Ohio-licensed psychologist
  - 5.1.2 Have not been found guilty of, or pleaded guilty to, any offense set forth in Section 5123.081(E) (1), (2), (3) or (4) of the Ohio Revised Code; nor employ any person to provide services under this RFP who has been found guilty of, or pleaded guilty to, any offense set forth in Section 5123.081(E) (1), (2), (3) or (4) of the Ohio Revised Code.  
*The person(s) providing services under this RFP shall be subject to a criminal background check prior to performing any services at Tiffin Developmental Center.*
- 5.3 All services provided under this RFP shall meet the appropriate standards of the Federal Medicaid program for Intermediate Care Facilities for the Mentally Retarded (ICF/MR).
- 5.4 The provisions of the ***Ohio Department of Developmental Disabilities Personal Service Contract*** will become part of the final agreement between the successful offeror and the Developmental Centers. (Sample document attached.) Therefore, the evaluation process resulting in the final award of a contract rests with the Center and the DODD. Each Center and the Ohio DODD reserves the right to determine that the award of a contract would not be in the best interest of the Center, the DODD, or the State of Ohio. Either Developmental Center or the DODD reserve the right to accept or reject any and all bids, in whole or in part, and may determine that any irregularities or deviations from the specifications do not result in the bid being non-responsive, provided this does not affect the amount of the bid or result in a competitive advantage to the bidder.

- 5.5 By submitting a signed proposal for this service, the vendor affirms that, as applicable to the vendor, no party listed in Division (I) and (J) of Section 3517.13 of the Revised Code or spouse of such party has made, as an individual, within the two previous calendar years, one or more contributions totaling in excess of \$1,000.00 to the Governor or to his campaign committees.

## **6.0 PROPOSALS**

- 6.1 All proposals shall be in accordance with information provided in this document as well as anything requested in an interview on site, if an interview is requested.
- 6.2 All proposals shall be in writing and signed by the person providing services (or in the case of companies, by an authorized representative on company letterhead). E-mail and faxes will not be accepted.
- 6.3 All proposals shall be submitted on the basis of an hourly rate for each hour of service for each of the two fiscal years.
- 6.4 All proposals shall be guaranteed for 90 days.
- 6.5 SEALED PROPOSALS WILL BE RECEIVED BY:

Tiffin Developmental Center  
Attn: Operations Director  
600 North River Road  
Tiffin, Ohio 44883

Envelopes to be marked in lower left corner: **PSYCHOLOGIST**

- 6.6 Deadline for Proposal:

Proposals will be received at the above address until **11:00 a.m. on April 15, 2011**. Proposals not received at Tiffin Developmental Center by the deadline will be returned to the sender unopened.

## **7.0 SITE INTERVIEW**

- 7.1 Tiffin Developmental Center and Northwest Developmental Center reserve the right to interview any and all persons proposed to be providing services under the provisions of this RFP to determine the best responsive vendor. Interviews will be held after the proposal deadline and conducted at a location to be announced.

## **8.0 PROPOSAL SUBMISSION INSTRUCTIONS**

- 8.1 Complete and submit, in writing, your proposal as to how you will meet the specifications of this contract, without including cost. (Costs are to be submitted on the Pricing/Compensation form.)

- 8.2 Complete the Pricing/Compensation form and submit in a separately sealed envelope within the packet marked "Psychology Services" in the lower right hand corner.
- 8.3 Complete and submit a Contractor Information form (attached), together with the W-9 form.
- 8.4 Complete and submit a Declaration of Material Assistance (Ohio Homeland Security form).
- 8.5 Submit the name, vitae and Ohio license numbers of the person(s) to provide services under the provisions of this RFP.
- 8.6 Submit a list of previous services performed for MR/DD individuals – to include facility name, complete address, telephone number, contact person and dates service was performed.
- 8.7 Submit a description of any accommodation or special needs of any person providing services under the provisions of this RFP.

## **9.0 SCHEDULE**

- 9.1 July 1, 2011 through June 30, 2012
- 9.2 July 1, 2012 through June 30, 2013

## **10.0 PAYMENTS**

- 10.1 Payment for these services are made every two weeks or monthly, as agreed upon by both parties, with the submission of the following:
  - 10.1.1 Completed "Contract Payment Request" (DMR-0044), OR
  - 10.1.2 Proper invoice signed by the vendor.

## **11.0 EVALUATION CRITERIA**

- 11.1 Scores will be given for each of the following items. The highest possible score is noted with each line item. The award will be based on a combination of score on each criteria, background and reference checks and interviews, as needed.
  - 11.1.1 Person(s) to provide services is Ohio-licensed psychologist. (Yes = continue to next criteria; No = proposal is rejected; PhD = 10 points, PsyD = 5 points, MS/MA = 2 points).
  - 11.1.2 Experience serving persons with mental retardation (<3 years = 0; 3-5 years = 2 points; 6-9 years = 5 points; 10+ years = 10 points).
  - 11.1.3 Experience providing service under ICF/MR standards (<3 years = 0; 3-5 years = 2; 6-9 years = 5; 10+ years = 10).
  - 11.1.4 Price. Rank lowest to highest in order when compared to all proposals: (lowest price = 10 points, next lowest price = 9 points, etc.)

11.1.5 Experience writing Behavior Support Plans for Mentally Retarded individuals (<3 years = 0 points; 3-5 years = 2 points; 6-9 years = 5 points; 10+ years = 10 points).

11.1.6 In the event of a tie, the award will be determined through the vendor interview process.

Ohio Revised Code Section 9.24 prohibits the award of any contract for goods, services, or construction, paid for in whole or in part with State funds, to a person against whom a finding for recovery has been issued by the Auditor of State, if the finding for recovery is unresolved. Paragraph (E) requires that a State agency or political subdivision verify that the person to whom the State agency or political subdivision plans to award the contract does not appear in the database to be maintained by the Auditor of State.

11.1.7 In the response review process, the fact that there is a finding for recovery as defined in R.C. 9.24 may be considered in the scoring process, and a response rejected for this reason alone

## **12.0 ATTACHMENTS**

12.1 Contractor Information Form

12.2 Pricing/Compensation form

12.4 Sample Contract and HIPAA Compliance Provisions (Attachment A)

Note: Declaration of Material Assistance (Ohio Homeland Security form) is required prior to execution of this contract.

An IRS Form W-9 <http://www.irs.gov/pub/irs-pdf/fw9.pdf> will be needed for all new vendors conducting business with the State of Ohio.

CONTRACTOR INFORMATION

**THIS FORM MUST BE SUBMITTED WITH YOUR PROPOSAL.  
(The Pricing/Compensation form must be in a separately sealed envelope)**

Vendor Name: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Phone Number: \_\_\_\_\_ FAX Number: \_\_\_\_\_

1. Number of contracts with the State of Ohio (including ODMR/DD). Specifically,

State Agency: \_\_\_\_\_

Contracted Services: \_\_\_\_\_

Duration of Contract: \_\_\_\_\_

Amount/Rate: \_\_\_\_\_

(Attach additional sheets if necessary.)

2. Provide the following current information on both a corporate-wide basis (including Ohio) and, if a multi-state corporation, the corporation's Ohio-based operations:

	<u>Ohio Offices</u>	<u>Nationwide (incl. Ohio offices)</u>
Total Employees:	_____	_____
% Women:	_____	_____
% Minorities:	_____	_____

3. What is your TAX IDENTIFICATION number? \_\_\_\_\_

4. If your billing address is different from your mailing address, please list it below:

Billing Address:

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Date

**PRICING /COMPENSATION**

Vendor Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Service Provided: \_\_\_\_\_

Please complete Hourly Rate or Fee Schedule, as applicable by State fiscal Year.

***Hourly Rate***

FY 2012 \$ \_\_\_\_\_ X \_\_\_\_\_ hours = \$ \_\_\_\_\_  
(Hourly Rate) (Total FY 2010)

FY 2013 \$ \_\_\_\_\_ X \_\_\_\_\_ hours = \$ \_\_\_\_\_  
(Hourly Rate) (Total FY 2011)

TOTAL FY's 2012 & 2013 \$ \_\_\_\_\_

**OR**

***Fee Schedule***

Procedure	FY12 Fee	FY13 Fee
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Please use an attachment if additional lines are necessary.

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

Fund	Account	ALI	Department	Program	Grant	PO Number	CB and/or R&P Number (if applicable)

**Ohio Department Developmental Disabilities**

## PERSONAL SERVICE CONTRACT

**SECTION A. CONTRACT PARTIES**

This contract is entered into between the Ohio Department Developmental Disabilities (Agency), on behalf of the following:

Name of Developmental Center, Office, or other Contracting Entity	Address (Street, City, State, Zip)
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**and**

Contractor's Name	Address (Street, City, State, Zip)	OAKS Vendor Number
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Type of Service Provided:

\_\_\_\_\_

**SECTION B. EFFECTIVE DATES**

This contract is effective \_\_\_\_\_ through \_\_\_\_\_ unless terminated prior thereto pursuant to Section G. Services shall not begin until Agency receives OBM approved Purchase Order.

**SECTION C. COMPENSATION**

1. The Contractor will be paid for the term of this contract as follows (check option a or b):
  - a.  Fee Schedule. Attach Fee Schedule to Contract or include Fee Schedule in Section D.1.a.
  - b.  Hourly Rate. Complete the information below

Fiscal Year	Rate per Hour	Maximum Hours Worked	Maximum Fiscal Year Contract Amount
2010			
2011			

Maximum Contract Amount for Biennium

\_\_\_\_\_

2. Contractor shall not be reimbursed for travel, lodging or any other expenses incurred in the performance of this Contract.
3. Contractor shall submit a valid invoice on letterhead for the compensation incurred consistent with this Section, within twenty (20) days of the end of each month. Each invoice shall contain the following information:
  - a. a description of the services performed;

- b. date of the services rendered;
  - c. a total for the invoice;
  - d. vendor's name and address;
  - e. Department's name; and
  - f. an attestation that the information contained in the invoice is accurate and true;
4. Agency shall pay Contractor within thirty (30) days of receipt and approval of the invoice.
5. This Contract does not guarantee a minimum amount of service. Services shall be performed on an as needed basis as directed by Agency.

#### **SECTION D. DUTIES OF CONTRACTOR**

1. Contractor shall:
  - a. (Either list duties and associated fees OR type "See Request for Proposal and Response to Request")
  - b. Contractor shall maintain all necessary licenses or registrations. Contractor shall perform all services with reasonable care, skill and diligence as would normally be provided by an experienced consultant and in accordance with industry standards.

OR

Contractor shall maintain all necessary licenses and registrations. All services shall be performed in accordance with: (1) generally accepted standards of care in the community and the quality criteria adopted by the Agency; (2) policies of the Agency; and (3) applicable rules and standards for the certification of an intermediate care facility for the mentally retarded.
  - c. The contractor reports directly to (name and title of supervisor) \_\_\_\_\_ who will verify the contract's time and service charged to this contract.

#### **SECTION E. NATURE OF CONTRACT**

1. Agency enters into this Contract in reliance upon Contractor's representations that it has the necessary expertise and experience to perform its obligations hereunder, and Contractor warrants that it does possess the necessary expertise and experience. It is specifically understood that the nature of the services to be rendered under this Contract are of such a personal nature that Agency is the sole judge of the adequacy of such services. Agency thus reserves the right to terminate this Contract should Agency at any time be dissatisfied with Contractor's performance of its duties under this Contract.
2. In the event of a termination of this Contract by Agency, Contractor shall be reimbursed in accordance with Section G., Termination of Contractor's Services.
3. Agency may, from time to time, communicate specific instructions and requests to Contractor concerning the performance of the work described in this Contract. Upon such notice, Contractor shall comply with such instructions and fulfill such requests to Agency's satisfaction. It is expressly understood by the parties that these instructions and requests are for the sole purpose of performing the specific tasks requested to ensure satisfactory completion of the work described in this Contract. The management of the work, including the exclusive right to control or direct the manner or means by which the work is performed, remains with the Contractor. Agency retains the right to ensure that

Contractor's work is in conformity with the terms and conditions of this Contract.

#### **SECTION F. CERTIFICATION OF FUNDS**

1. It is expressly understood and agreed by the parties that none of the rights, duties, and obligations described in this Contract shall be binding on either party until all relevant statutory provisions of the Ohio Revised Code, including, but not limited to, O.R.C. Section 126.07, have been complied with, and until such time as all necessary funds are available or encumbered and, when required, such expenditure of funds is approved by the Controlling Board of the State of Ohio, or in the event that grant funds are used, until such time that Agency gives Contractor written notice that such funds have been made available to Agency by Agency's funding source.

#### **SECTION G. TERMINATION OF CONTRACT**

1. Agency may, at any time prior to the completion of services by Contractor under this Contract, suspend or terminate this Contract with or without cause by giving five (5) days written notice to Contractor.
2. Contractor, upon receipt of notice of suspension or termination, shall cease work on the suspended or terminated activities under this Contract, take all necessary or appropriate steps to limit disbursements and minimize costs, and, if requested by Agency, furnish a report, as of the date of receipt of notice of suspension or termination, describing the status of all work under this Contract, including, without limitation, results, conclusions resulting therefrom, and any other matters Agency requires.
3. Contractor shall be paid for services rendered up to the date Contractor received notice of suspension or termination, less any payments previously made, provided Contractor has supported such payments with invoices as required under Section C. In the event of suspension or termination, any payments made by Agency for which Contractor has not rendered services shall be refunded.
4. In the event this Contract is terminated prior to its completion, Contractor, upon payment as specified, shall deliver to Agency all work products and documents which have been prepared by Contractor in the course of providing services under this Contract. All such materials shall become and remain the property of Agency, to be used in such manner and for such purpose as Agency may choose.
5. Contractor agrees to waive any right to, and shall make no claim for, additional compensation against Agency by reason of such suspension or termination.
6. Contractor may terminate this Contract with or without cause upon thirty (30) days prior written notice to Agency.

#### **SECTION H. INDEPENDENT CONTRACTOR**

1. No relationship of employer and employee is created by this contract. Contractor will act hereunder as an independent contractor with no claim under this Contract or otherwise against Agency or the State of Ohio for business expenses, travel expenses, vacation pay, sick pay, retirement benefits, workers compensation, or disability or unemployment insurance benefits or employee benefits of any kind. Contractor is not eligible to participate in any employee benefit or retirement plans offered by Agency or the State or Ohio. Agency shall withhold no payroll or employment taxes of any kind.

2. Contractor is solely responsible for all of Contractor's business expenses, including the payment or withholding of all federal, state and local income taxes, workers compensation insurance, social security and unemployment insurance, and the payment of wages and salaries, travel expenses, insurance of every kind, and health and retirement plans. Contractor shall indemnify and hold Agency harmless from and against any and all claims, demands, liabilities, losses, damages and expenses resulting in any manner from any act or omission of Contractor or its employees related to its obligation to pay and withhold income tax, social security, unemployment insurance and to maintain worker's compensation insurance.
3. Nothing herein shall be construed to imply, by reason of Contractor's engagement hereunder on an independent contractor basis, that Agency shall have or may exercise any right of control over Contractor with regard to the manner or method of Contractor's performance of services hereunder.
4. Except as expressly provided herein, neither party shall have the right to bind or obligate the other party in any manner without the other party's prior written consent.
5. Contractor shall submit to a BCI (Ohio residents for more than five (5) years) and/or FBI (Ohio residents less than five (5) years) electronic background check. Contractor's Personal Services Contract is contingent upon successful completion of that criminal records check.

#### **SECTION I. RECORD KEEPING**

1. Until the expiration of six (6) years after the termination of this Contract, Contractor will, upon proper request, allow the Comptroller General of the United States, the U.S. Department of Health and Human Services, the State of Ohio, the Ohio Medicaid Fraud Control Unit and the Ohio Department of Job and Family Services and their duly-authorized representatives access to Contractor's books, documents and records necessary to certify the nature and extent of costs of reimbursable services provided under this Contract. For each subcontract in excess of \$2,500, the Contractor shall require the subcontractor to agree to these record keeping provisions. If Contractor is requested to disclose any books, documents or records relevant to their Contract for the purpose of an audit or investigation by any government agency, Contractor shall immediately notify Agency of the nature and scope of the request and shall make available to Agency all books, documents and records relevant to the request.
2. All provisions under this section survive the expiration or termination of this Contract.

#### **SECTION J. CONFLICTS OF INTEREST AND ETHICS AND LEGAL COMPLIANCE**

1. No personnel of Contractor or member of the governing body of any locality or other public official or employee of any such locality in which, or relating to which, the work under this Contract is being carried out, and who exercise any functions or responsibilities in connection with the review or approval of this Contract or carrying out of any such work, shall, prior to the completion of said work, voluntarily acquire any personal interest, direct or indirect, which is incompatible or in conflict with the discharge and fulfillment of his or her functions and responsibilities with respect to the carrying out of said work.
2. Any such person who acquires an incompatible or conflicting personal interest, on or after the effective date of this Contract, or who involuntarily acquires any such incompatible or conflicting personal interest, shall immediately disclose his or her interest to Agency in writing. Thereafter, he or she shall not

participate in any action affecting the work under this Contract, unless Agency shall determine in its sole discretion that, in the light of the personal interest disclosed, his or her participation in any such action would not be contrary to the public interest.

3. Contractor represents, warrants, and certifies that it and its employees engaged in the administration or performance of this Contract are knowledgeable of and understand the Ohio Ethics and Conflicts of Interest laws and Executive Order No. 2007-01S. Contractor further represents, warrants, and certifies that neither Contractor nor any of its employees will do any act that is inconsistent with such laws and Executive Order. The Governor's Executive Orders may be found by accessing the following website: <http://governor.ohio.gov/Default.aspx?tabid=1495>
4. Contractor represents and warrants that all applicable parties listed in Division (I)(3) or (J)(3) of O.R.C. Section 3517.13 are in full compliance with Divisions (I)(1) and (J)(1) of O.R.C. Section 3517.13.
5. Contractor represents and warrants that it is not subject to an "unresolved" finding for recovery under O.R.C. Section 9.24. If this warranty is found to be false, this Contract is void *ab initio* and Contractor shall immediately repay to Agency any funds paid under this Contract.
6. Contractor represents and warrants that it is not debarred from consideration for contract awards by the Director of the Department of Administrative Services, pursuant to either O.R.C. Section 153.02 or O.R.C. Section 125.25. If this representation and warranty is found to be false, this Contract is void *ab initio* and Contractor shall immediately repay to Agency any funds paid under this Contract.
7. Contractor hereby represents and warrants to Agency that it has not provided any material assistance, as that term is defined in O.R.C. Section 2909.33(C), to any organization identified by and included on the United States Department of State Terrorist Exclusion List and that it has truthfully answered "no" to every question on the "Declaration Regarding Material Assistance/Non-assistance to a Terrorist Organization." Contractor further represents and warrants that it has provided or will provide such Declaration to Agency prior to execution of this Contract. If these representations and warranties are found to be false, this Contract is void *ab initio* and Contractor shall immediately repay to Agency any funds paid under this Contract.
8. Contractor represents and warrants that neither it nor any of its employees or agents are excluded from participation under any Federal health care program, as defined under 42 U.S.C. Section 1320a-7b(D), for the provision of items or services for which payment may be made under a Federal health care program; Contractor has not arranged or contracted (by employment or otherwise) with any employee, contractor or agent that Contractor knows is excluded from participation in any Federal health care program, and no final adverse action, as defined under 42 USC Section 1320a-7e(g) has occurred or is pending against Contractor or to its knowledge against any employee contractor or agent engaged to provide items or services under this Contract (collectively, "Exclusions/Adverse Actions"). Contractor shall notify Agency of any Exclusions/Adverse Actions within five (5) business days of its learning of such Exclusions/Adverse Actions.
9. Contractor shall comply with all applicable federal, state and local laws regarding smoke-free and drug-free work places and shall make a good faith effort to ensure that none of its employees or permitted subcontractors engaged in the work being performed hereunder purchase, transfer, use, or possess illegal drugs or alcohol, or abuse prescription drugs in any way.

10. Contractor warrants that it has not entered into, nor shall it enter into, other Contracts, without prior written approval of Agency, to perform substantially identical work for the State of Ohio such that the product contemplated hereunder duplicates the work called for by the other Contracts.
11. Contractor represents and warrants that neither it nor any of its employees or agents has been convicted of any offense set forth in Section 5123.081(E) of the Ohio Revised Code.
12. Contractor affirms that neither it nor any of its employees or agents is presently holding a civil service position with the State of Ohio. The Contractor (if an individual) declines a civil service position for the reason(s) identified below.
  - contractor is not an individual
  - not interested in benefits
  - not interested in civil service appointment
  - compensation and benefits is inadequate
  - other

#### **SECTION K. NONDISCRIMINATION**

1. Pursuant to O.R.C. Section 125.111, Contractor agrees that Contractor, any subcontractor, and any person acting on behalf of Contractor or a subcontractor, shall not discriminate, by reason of race, color, religion, sex, age, national origin, veteran status, or disability against any citizen of this state in the employment of any person qualified and available to perform the work under this Contract.
2. Contractor further agrees that Contractor, any subcontractor, and any person acting on behalf of Contractor or a subcontractor shall not, in any manner, discriminate against, intimidate, or retaliate against any employee hired for the performance of work under this Contract on account of race, color, religion, sex, age, national origin, veteran status or disability.
3. Pursuant to Ohio Revised Code Section 125.111, Contractor shall maintain a written affirmative action program for the employment and effective utilization of economically disadvantaged persons and shall file a description of the affirmative action program and a progress report on its implementation with the equal employment opportunity office of the Department of Administrative Services.
4. Contractor shall not discriminate in the provision of services on account of race, color, religion, sex, age, natural origin, veteran status or disability.

#### **SECTION L. LIABILITY**

1. Contractor agrees to indemnify and to hold Agency and the State of Ohio harmless and immune from any and all claims, costs and liabilities for injury or damages arising from this Contract which are attributable to Contractor's own actions or omissions or those of its trustees, officers, employees, subcontractors, suppliers, third parties utilized by Contractor, or joint venturers while acting under this Contract. Such claims shall include any claims made under the Fair Labor Standards Act or under any other federal or state law involving wages, overtime, or employment matters and any claims involving patents, copyrights, and trademarks.
2. In no event shall either party be liable to the other party for indirect, consequential, incidental, special, or punitive damages, or lost profits.

3. Contractor shall purchase and maintain comprehensive general and professional liability insurance each in the minimum amount of \$1,000,000 per occurrence. Upon request, Contractor shall furnish Agency with a certificate of coverage.

#### **SECTION M. COMPLIANCE WITH LAWS**

1. Contractor, in the execution of duties and obligations under this Contract, agrees to comply with all applicable federal, state and local laws, rules, regulations and ordinances.
2.
  - a. The Contractor affirms to have read and understands Executive Order 2010-09S issued by Ohio Governor Ted Strickland and shall abide by those requirements in the performance of this Contract, and shall perform no services required under this Contract outside of the United States. The Executive Order is provided as an attachment.
  - b. The Contractor also affirms, understands, and agrees to immediately notify Agency of any change or shift in the location(s) of services performed by the Contractor or its subcontractors under this Contract, and no services shall be changed or shifted to a location(s) that are outside of the United States.
  - c. The Agency is not obligated and shall not pay for any services provided under this Contract that the Contractor or any of its subcontractors performed outside of the United States. If services are performed outside of the United States, this will be treated as a material breach of the Contract, and Contractor shall immediately return to the Agency all funds paid for those services. In addition, if the Contractor or any of its subcontractors perform any such services outside of the United States, the Agency may, at any time after the breach, terminate this Contract for such breach, upon written notice to the Contractor. If the Agency terminates the Contract, the Agency may buy substitute services from a third party, and the Agency may recover the additional costs associated with acquiring the substitute services.
  - d. If the Contractor or any of its subcontractors prepares to perform services, changes or shifts the location(s) of services performed by the Contractor or its subcontractors under this Contract to a location(s) outside of the United States, but no services are actually performed, the Contractor has 30 days to change or shift the location(s) of services performed to location(s) within the United States. The Agency may recover liquidated damages in the amount of 5% of the value of the contract for every day past the time permitted to change or shift the location(s).

#### **SECTION N. CONFIDENTIALITY**

1. Contractor agrees that all data, reports and information received from Agency shall be used only for the services to be provided under this Contract. Contractor agrees that all discussions with Agency personnel and all reports prepared by Contractor are confidential. Contractor agrees to maintain the confidentiality of all such information and will not release such information without the prior written authorization of Agency.
2. Contractor  IS or  IS NOT a "business associate" pursuant to the definition under the Health Insurance Portability and Accountability Act (HIPAA) and the regulations promulgated thereunder specifically 45CFR160.03. If Contractor is a business associate then Contractor shall comply with Addendum A.

3. All provisions under this section survive the expiration or termination of this Contract.

**SECTION O. ENTIRE CONTRACT/WAIVER**

1. This Contract contains the entire Contract between the parties hereto and shall not be modified, amended or supplemented, or any rights herein waived, unless specifically agreed upon in writing by the parties hereto.
2. This Contract supersedes any and all previous Contracts, whether written or oral, between the parties.
3. A waiver by any party of any breach or default by the other party under this Contract shall not constitute a continuing waiver by such party of any subsequent act in breach of or in default hereunder.

**SECTION P. NOTICES**

1. All notices, consents, and communications hereunder shall be given in writing, shall be deemed to be given upon mailing and shall be sent to the addresses set forth below:

[Name]  
DODD  
[Title]  
[Address]

[Name]  
[Contractor Name]  
[Title]  
[Address]

**SECTION Q. SEVERABILITY**

1. The provisions of this Contract are severable and independent, and if any such provision shall be determined to be unenforceable in whole or in part, the remaining provisions and any partially enforceable provision shall, to the extent enforceable in any jurisdiction, nevertheless be binding and enforceable.

**SECTION R. CONTROLLING LAW**

1. This Contract and the rights of the parties hereunder shall be governed, construed, and interpreted in accordance with the laws of the State of Ohio and only Ohio courts shall have jurisdiction over any action or proceeding concerning the Contract and/or performance thereunder.

**SECTION S. SUCCESSORS AND ASSIGNS**

1. Neither this Contract nor any rights, duties or obligations hereunder may be assigned or transferred in whole or in part by Contractor, without the prior written consent of Agency.

**SECTION T. ACCESS TO PREMISES**

1. Contractor acknowledges that all packages and bags brought into or taken from Agency premises may be subject to inspection by security, supervisory and management personnel. Video surveillance may also be used to assist in the protection of individuals, staff and property.

**IN WITNESS WHEREOF**, the parties hereto have caused this Contract to be executed by their duly authorized officers, as of the day and year first written above.

[Name]  
Ohio Department of Developmental Disabilities  
Director

[Name]  
[Contractor Name]  
[Title]

By: \_\_\_\_\_

By: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

[Name]  
Ohio Department of Developmental Disabilities  
Disabilities  
Deputy Director

[Name]  
Ohio Department of Developmental  
Superintendent (if applicable)

By: \_\_\_\_\_

By: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_



**TED STRICKLAND**  
GOVERNOR  
STATE OF OHIO

## **Executive Order 2010-09S**

### **Banning the Expenditure of Public Funds for Offshore Services**

1. **Ohio's Economic Vitality Necessitates Constant Vigilance in State Job Creation Efforts.** State officials and employees must at all times remain passionately focused on initiatives that will create and retain jobs in the United States in general and in Ohio, in particular, and must do so especially during Ohio's continuing efforts to recover from the recent global recession.
2. **No Public Funds Should be Spent on Services Provided Offshore.** Allowing public funds to pay for offshore services undermines economic development objectives and any such offshore services carry unacceptable quality and security risks.
  - a. **The Purchase of Offshore Services with Public Funds Undermines Economic Development and Other Job Creation and Retention Objectives.** The expenditure of public funds for services provided offshore deprives Ohioans and other Americans critical employment opportunities. It also undermines efforts to attract businesses to Ohio and retain them in Ohio, initiatives in which the State has invested heavily.
  - b. **The Purchase of Offshore Services Has Unacceptable Business Consequences.** The use of offshore service providers could pose unacceptable data security, and thus privacy and identity theft risks. There are pervasive service delivery problems with offshore providers, including dissatisfaction with the quality of their services and with the fact that services are being provided offshore. It is difficult and expensive to detect illegal activity and contract violations and to pursue legal recourse for poor performance or data security

violations. The State's use of offshore service providers ill-serves the people of Ohio who are the primary consumers of the services provided by the State.

3. **Ohio's Policy Has Been – and Must Continue To Be – That Public Funds Should Not Be Spent on Services Provided Offshore.** Throughout my Administration, procurement procedures have been in place that restrict the purchase of offshore services. Despite these requirements, federal stimulus funds were recently used to purchase services from a domestic company which ultimately provided some of those services offshore. This incident was unacceptable and has caused me, through this Order, to redouble my commitment to ensure that public funds are not expended for offshore services.
4. **Additional Steps Will Ensure that Public Funds Are Not Spent on Services Provided Offshore.** In order to ensure that the State of Ohio makes no expenditures for services provided offshore, I hereby order the following:
  - a. No Cabinet Agency, Board or Commission (Executive Agency) shall enter into any contract which uses any funds within its control to purchase services which will be provided outside the United States. This Order applies to all funds in the custody of an Executive Agency, be they from state, federal, philanthropic or private sources. It applies to all purchases of service made directly by an Executive Agency and services provided by sub-contractors of those providing services purchased by an Executive Agency.
  - b. This Executive Order will be personally provided, by the Director, Chair or other chief executive official of each Executive Agency, to the Chief Procurement Officer or other individual at that entity responsible for contracts for services.
  - c. The Department of Administrative Services, through Ohio's Chief Procurement Officer (OCPO), shall have in place, by August 31, 2010, procedures to ensure all of the following:
    - i. All agency procurement officers, or the person with equivalent duties at each Executive Agency (APOs), have standard language in all Executive Agency contracts which:
      - (a) Reflect this Order's prohibition on the purchase of offshore services.
      - (b) Require service providers or prospective service providers to:

- (i) Affirm that they understand and will abide by the requirements of this Order.
    - (ii) Disclose the location(s) where all services will be performed by any contractor or subcontractor.
    - (iii) Disclose the locations(s) where any state data associated with any of the services they are providing, or seek to provide, will be accessed, tested, maintained, backed-up or stored.
    - (iv) Disclose any shift in the location of any services being provided by the contractor or any subcontractor.
    - (v) Disclose the principal location of business for the contractor and all subcontractors who are supplying services to the state under the proposed contract.
  - ii. All APOs are ensuring that all quotations, statements of work, and other such proposals for services affirm this Order's prohibition on the purchase of offshore services and include all of this Order's disclosure requirements.
    - (a) Any such proposal for services lacking the affirmation and disclosure requirements of this Order will not be considered.
    - (b) Any such proposal where the performance of services is proposed to be provided at a location outside the United States by the contractor or any sub-contractor, will not be considered.
  - iii. All procurement manuals, directives, policies, and procedures reflect the requirements of this Order.
  - iv. All APOs have adequate training which addresses the terms of this Order.
5. **Exceptions.** Nothing in this Order is intended to contradict any state or federal law. In addition, this Order does not apply to:
- a. Services necessary to support the efforts of the Department of Development Global Markets Division to attract jobs and business to the State of Ohio, including incidental services for the support of trade missions, payment of international staff, and services necessary for the operation of international offices.
  - b. Academic, instructional, educational, research or other services necessary to support the international missions of Ohio's public colleges and universities.

6. I signed this Executive Order on August 6, 2010 in Columbus, Ohio and it will not expire unless rescinded.



Ted Strickland  
Ted Strickland, Governor

ATTEST:

\_\_\_\_\_  
Jennifer Brunner, Secretary of State

**DEPARTMENT OF ADMINISTRATIVE SERVICES**

STANDARD AFFIRMATION AND DISCLOSURE FORM

EXECUTIVE ORDER 2010-09S

Banning the Expenditure of Public Funds on Offshore Services

All of the following provisions must be included in all invitations to bid, requests for proposals, state term schedules, multiple award contracts, requests for quotations, informal quotations and statements of work. This information is to be submitted as part of the response to any of the procurement methods listed.

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**CONTRACTOR/SUBCONTRACTOR AFFIRMATION AND DISCLOSURE:**

By the signature affixed to this response, the Bidder/Offeror affirms, understands and will abide by the requirements of Executive Order 2010-09S issued by Ohio Governor Ted Strickland. If awarded a contract, the Bidder/Offeror becomes the Contractor and affirms that both the Contractor and any of its subcontractors shall perform no services requested under this Contract outside of the United States. The Executive Order is attached and is available at the following website: (<http://www.governor.ohio.gov/Default.aspx?tabid=1495>).

The Bidder/Offeror shall provide all the name(s) and location(s) where services under this Contract will be performed in the spaces provided below or by attachment. Failure to provide this information as part of the response will deem the Bidder/Offeror not responsive and no further consideration will be given to the response. Bidder/Offeror's offering will not be considered. If the Bidder/Offeror will not be using subcontractors, indicate "Not Applicable" in the appropriate spaces.

1. Principal location of business of Contractor:

\_\_\_\_\_

(Address)

\_\_\_\_\_

(City, State, Zip)

Name/Principal location of business of subcontractor(s):

\_\_\_\_\_

(Name)

\_\_\_\_\_

(Address, City, State, Zip)

\_\_\_\_\_

(Name)

\_\_\_\_\_

(Address, City, State, Zip)

2. Location where services will be performed by Contractor:

\_\_\_\_\_

(Address)

\_\_\_\_\_

(City, State, Zip)

Name/Location where services will be performed by subcontractor(s):

\_\_\_\_\_

(Name)

\_\_\_\_\_

(Address, City, State, Zip)

\_\_\_\_\_

(Name)

\_\_\_\_\_

(Address, City, State, Zip)

3. Location where state data will be stored, accessed, tested, maintained or backed-up, by Contractor:

\_\_\_\_\_  
(Address)

\_\_\_\_\_  
(Address, City, State, Zip)

Name/Location(s) where state data will be stored, accessed, tested, maintained or backed-up by subcontractor(s):

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Address, City, State, Zip)

4. Location where services to be performed will be changed or shifted by Contractor:

\_\_\_\_\_  
(Address)

\_\_\_\_\_  
(Address, City, State, Zip)

Name/Location(s) where services will be changed or shifted to be performed by subcontractor(s):

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Address, City, State, Zip)

# Insert Declaration regarding Material Assistance/Non-Assistance to Terrorist Organizations

Available at <http://www.publicsafety.ohio.gov/links/HLS0038.doc>

## ADDENDUM A

### Business Associate Addendum

This Business Associate Addendum (the "Addendum") is entered into by and between the Ohio Department of Developmental Disabilities ("Agency") and Contractor.

Whereas, Agency and Contractor are parties to an agreement entered into contemporaneously herewith ("Underlying Agreement"); and

Whereas, Agency, pursuant to the Underlying Agreement, provides Contractor with certain individually identifiable protected health information that is necessary for Contractor to perform the services called for in the Underlying Agreement and is subject to protection under the Health Insurance Portability and Accountability Act of 1996("HIPAA") and the Standards for Privacy of Individually Identifiable Health Information and Security Standards for the Protection of Electronic Protected Health Information, 45 C.F.R. Part 160 and Part 164 ("Rules"); and

Whereas, the parties purpose for entering into this Addendum is to comply with the requirements of applicable laws and regulations, including but not limited to HIPAA and the Rules.

NOW, THEREFORE, in consideration of the forgoing and the promises and mutual covenants contained herein, the parties agree as follows:

1. Definitions. Unless otherwise provided in this Addendum, capitalized terms shall have the same meaning as set forth in the Rules.
2. Duties and Responsibilities of Contractor:
  - A. Contractor acknowledges and agrees that all protected health information (the "PHI"), as defined by the Rules, provided to Contractor by Agency is confidential and the property of Agency without regard to medium of storage or method of transmission of such information. Contractor agrees to keep all PHI confidential.
  - B. Except as otherwise limited in this Addendum, Contractor may use or disclose PHI necessary to perform functions, activities, or services for, or on behalf of, Agency as specified in the Underlying Agreement or for the proper management and administration of Contractor, provided that such use or disclosure would not violate the Rules if done by Agency.
  - C. Contractor agrees to take reasonable steps necessary to protect the security and confidentiality of PHI so as to enable Agency to comply with HIPAA, the Rules and other laws relating to the privacy and security of PHI, which are now in force or which may hereafter be in force, including, without limitation, the following actions:
    - (1.) use or disclose PHI only as permitted or required by the Underlying Agreement and this Addendum, or as Required by Law; and
    - (2.) use appropriate safeguards to prevent use or disclosure of the PHI other than as provided for by the Underlying Agreement and this Addendum; and
    - (3.) to the extent practicable, mitigate any harmful effect that is known to Contractor of a use or disclosure of PHI by Contractor in violation of the requirements of the Underlying Agreement or this Addendum; and

- (4.) promptly report in writing to Agency any use or disclosure of the PHI not provided for by the Underlying Agreement or this Addendum, of which Contractor becomes aware; and
  - (5.) require any contractors or agents, including subcontractors, to whom Contractor provides PHI received from, or created or received by Contractor on behalf of Agency, to agree to the same restrictions and conditions that apply to Contractor pursuant to this Addendum; and
  - (6.) make its internal practices (including policies and procedures), books, and records relating to the use and disclosure of PHI received from, or created or received by Contractor on behalf of Agency, available to the Secretary of the Department of Health and Human Services (the "Secretary") for purposes of determining Covered Entities compliance with the Rules. Contractor shall provide Agency with a copy of any PHI that Contractor provides to the Secretary concurrently with providing such PHI to the Secretary; and
  - (7.) within fifteen (15) days of receiving a written request from Agency, provide to Agency the information necessary for the Agency to make an accounting of disclosures of PHI about an Individual as necessary for Agency to comply with 45 C.F.R. 164.528; and
  - (8.) make available information necessary for Agency to respond to an Individual's request for access to PHI about them as is necessary for Agency to comply with 45 C.F.R. 164.524. Such information shall be made available within ten (10) ten days of receiving a written request from Agency for such information. In the event an Individual contacts Contractor, or its agents or subcontractors, directly requesting access to PHI, Contractor will not grant access to PHI but will notify Agency in writing within five (5) business days of such contact; and
  - (9.) within fifteen (15) days of receiving a written request from Agency, incorporate any amendments or corrections to PHI as necessary for Agency to comply with 45 C.F.R. 164.526. In the event an Individual contacts Contractor, or its agents or subcontractors, directly about making amendment to PHI, Contractor will not make any amendments to PHI but will notify Agency in writing within five (5) business days of such contact.
3. Security Rule Provisions. Contractor agrees to the following additional obligations in order that Agency may meet its obligations under HIPAA Security Rule, 45 C.F.R. Part 164, Subpart C, with respect to electronic PHI:
- A. Contractor will employ appropriate administrative, technical, and physical safe guards to protect the confidentiality, integrity, and availability of the electronic PHI that it creates, receives, maintains, or transmits on behalf of Agency.
  - B. Contractor will Report to Agency any Security Incident of which it becomes aware.
  - C. Contractor will ensure that any agent, including a subcontractor, to whom it provides such electronic PHI agrees to implement reasonable and appropriate safeguards to protect it.
4. Termination. Agency may immediately terminate the Underlying Agreement, including this Addendum, by giving Contractor written notice of termination, if Agency determines that Contractor has violated a material term of this Addendum. Alternatively, Agency may in its sole discretion provide an opportunity for Contractor to cure the breach and end the violation. If Contractor fails to cure the breach to the satisfaction of Agency, the Agency may immediately thereafter terminate the Underlying Agreement. Termination of the Underlying Agreement shall result in the termination of this Addendum.

Contractor agrees that upon termination of the Underlying Agreement, it will return or destroy all PHI received from, or created or received on behalf of Agency, that Contractor still maintains in any form and retain no copies of such information. This provision shall apply to PHI that is in the possession of Contractor and any subcontractors or agents of Contractor. In the event that returning or destroying the PHI is infeasible, as determined by Agency, Contractor agrees to extend the protections of the Underlying Agreement and this Addendum to such PHI and limit further uses and disclosures of such PHI to those purposes that make the return or destruction infeasible, for so long as Contractor maintains such PHI.

5. Amendment. It is the intent of the parties that the Underlying Agreement and this Addendum comply with the requirements of HIPAA and the Rules. Any ambiguity in the Underlying Agreement or this Addendum shall be resolved to permit Agency to comply with HIPAA and the Rules. If necessary, the parties agree to use good faith efforts to amend the Underlying Agreement and this Addendum from time to time as is necessary for Agency to be in compliance with HIPAA and regulations promulgated thereunder.
6. Survival. The obligations of the Contractor under this Addendum shall survive the expiration or termination of the Underlying Agreement and this Addendum.
7. No Third Party Beneficiaries. Nothing express or implied in this Addendum is intended to confer, nor shall confer, upon any person other than the parties, and their permitted successors and assigns if any, rights, remedies, obligations or liabilities whatsoever.
8. Miscellaneous: As amended by this Addendum, the Underlying Agreement and all its terms and conditions shall remain in full force and effect.