

MONROE COUNTY REQUEST FOR PROPOSALS [RFP]

Management and Operations of Laundry Services

Release Date: October 29, 2010

Response Deadline: January 28, 2011



Monroe Community Hospital
435 East Henrietta Road
Rochester, NY 14620
monroecounty.gov

NO RESPONSE FORM

If you choose not to respond to this Request for Proposals, please fax this form back to MONROE COUNTY at your earliest convenience, to the attention of:

Meagan Brennan
Monroe County Office of Purchasing & Central Services
200 County Office Building
Rochester, NY 14614
Fax (585) 753-1104

RFP **Management and Operations of Laundry Services**

Company: _____

Address: _____

Contact: _____

Contact Phone: _____

Email: _____

Reason for No-Response: _____

Project capacity. _____

Cannot bid competitively. _____

Cannot meet delivery requirements. _____

Cannot meet specifications. _____

Do not want to do business with Monroe _____

County. _____

*Other: _____

Suggested changes to RFP _____

Specifications for next _____

Request for Proposals. _____

*Other reasons for not responding might include insufficient time to respond, do not offer product or service, specifications too stringent, scope of work too small or large, unable to meet insurance requirements, cannot meet delivery or schedule requirements, etc

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SECTION 1 - INVITATION TO PARTICIPATE

1.1 Purpose

Monroe Community Hospital (“MCH”) is soliciting proposals for the Management and Operations of Laundry Services in an effort to stabilize the finances of MCH. Prospective Respondents must offer a proposal that will meet the scope of services, qualifications and general description of work activities identified in this Request for Proposals (“RFP”).

In responding to this RFP, Respondents must follow the prescribed format as outlined in Section 3. By so doing, each Respondent will be providing the County comparable data submitted by other Respondents and, thus, be assured of fair and objective treatment in the County review and evaluation process.

The County’s objective is to enter into a three (3) year agreement, with the option for two (2) additional one (1) year renewals, at the County’s sole discretion.

1.2 RFP Coordinator; Issuing Office

This RFP is issued for Monroe Community Hospital (“MCH”). The RFP Coordinator, identified below, is the sole point of contact regarding this RFP from the date of distribution until the selection of the successful Respondent.

Meagan Brennan
Monroe County Purchasing and Central Services
39 West Main Street
Room 200
Rochester, New York 14614
Fax: (585) 753- 1104
Email: mbrennan@monroecounty.gov

Only those Respondents who have registered and received a copy of this RFP via the County website at www.monroecounty.gov/bid/rfps will receive addenda, if issued.

1.3 Presentation and Clarification of the County's Intentions

As a result of this RFP, the County intends to enter into a contract with the selected Respondent to supply the services described in Section 2. However, this intent does not commit the County to award a contract to any responding Respondent, or to pay any costs incurred in the preparation of the proposal in response to this request, or to procure or contract for any services. The County reserves the right, in its sole discretion, to (a) accept or reject in part or in its entirety any proposal received as a result of this RFP if it is in the best interest of the County to do so; (b) award one or more contracts to one or more qualified Respondents if necessary to achieve the objectives of this RFP and if it is in the best interest of the County to do so.

1.4 Time Line

The schedule of events for this RFP is anticipated to proceed as follows:

- ◆ This RFP will be distributed on October 29, 2010.

- ◆ All requests for RFP clarification must be submitted in writing to the RFP Coordinator at the email address provided in Section 1 and received no later than 3:00 PM EST on November 5, 2010.
- ◆ All questions will be answered and documented in writing as an Addendum to the RFP, and posted on the County web site. These will be sent out to all Respondents who received the original RFP on or before November 12, 2010.
- ◆ **A pre-proposal tour will be conducted on November 19, 2010 from 9:00 AM-12:00 PM. Individuals who would like to attend the tour must RSVP by November 12, 2010** to the RFP Coordinator at the email address provided in Section 1. The tour of the facilities will be held at MCH and will also include a questions and answers session. The location for the tour will be Monroe Community Hospital, Faith Building, 7th Floor Classroom, 435 East Henrietta Road, Rochester, NY, 14620. The following information must be provided in the RSVP for all individuals expected to attend the conference:
 - **Company name**
 - **Name**
 - **Title**
 - **Email address**
 - **Phone number**
- ◆ Any additional questions posed at the pre-proposal tour will be answered and documented in writing as an Addendum to the RFP, and posted on the County web site. These will be sent out to all Respondents who received the original RFP on or before December 10, 2010.
- ◆ **Final RFP submissions must be received by 3:00 PM EST on January 28, 2011** at the address shown in Section 3.1. The right to withdraw will expire on this date and time.

1.5 An Overview of the Organization

The County is located in the Finger Lakes Region of New York State, where the Genesee River meets the south shore of Lake Ontario. The County has a population of over 735,000 residents. The County is comprised of 19 towns, 10 villages and the City of Rochester, the third largest city in New York State.

Monroe County government, with a workforce of approximately 4,600 full and part-time employees, has an annual operating budget close to \$1 Billion. County government provides a variety of services, including: public safety, health and human services, economic development, recreation, transportation and environmental services. The County also owns and operates the Greater Rochester International Airport and Seneca Park Zoo.

The County is a community of innovators on the cutting edge of scientific research and discovery; a community of entrepreneurs; home to some of the world's best-known brands and fastest growing companies; and, a community recognized for its leadership in arts, culture and higher education.

Monroe Community Hospital (MCH) is a public non-profit institution providing care for the aging and chronically ill operated by Monroe County (the "County"). It is affiliated

with the University of Rochester School of Medicine and Dentistry.

MCH currently serves three levels of care as defined by the New York State Department of Health. There are 39 beds in Acute Care, but the census is currently limited to 5. The Residential Health Care Facility houses 566 beds, including pediatrics, young adults, neurological, geriatrics, long-term care rehabilitation and chronic care. There are also Ambulatory Services on site, and the facility continues to investigate the viability of other programs and services.

SECTION 2 – SCOPE OF WORK

2.1 Definitions

FDA – Food and Drug Administration

NFPA – National Fire Protection Association

OSHA – Occupational Safety and Health Administration

POM – Plant Operations Management

2.2 Detailed Scope of Work

The proposal shall be for the management and operation of the laundry services at MCH’s premises, which are fully equipped and operational. It is MCH’s intent that the selected Respondent will manage these services at a level of quality that meets or exceeds MCH’s current performance. Respondents shall detail their proposed staffing plan, highlighting any deviation from the current state noted below.

2.2.1 Current State

The MCH Environmental and Laundry Services Departments are presently managed by a contracted management company, which provides operations managers and directors. MCH’s intent is to retain the current vendor to manage the Environmental Services Department, and in issuing this RFP, select a vendor to manage and operate the Laundry Services Department (“the Department”). Currently, the Laundry Services Department is overseen and managed by a full-time operations manager and a full-time director. This Director reports to the Executive Health Director or his/her designee. Monroe Community Hospital workers fill the remaining positions in the Laundry Services Department:

MCH Laundry Service Positions	# of FTE
Laundry Machine Operator	2.0
Laundry Service Worker	13.0
Sewing Machine Operator	1.0
Senior Laundry Machine Operator	1.0
Supervisor of Laundry	1.0
Work Experience Program (WEP) and Community Service Workers	3.3

The Director’s responsibilities currently include:

- A. Assuring that the overall coordination and integration of administrative aspects of the services are maintained and that the quality, safety, and appropriateness of the department/service functions are monitored, evaluated, and appropriate actions taken based on findings.
- B. Participating in all MCH Department Head functions and committee participation, including quality improvement, safety and infection control.
- C. Developing, implementing, and revising all departmental policies and procedures.
- D. Assuring that all workers assigned to the MCH Laundry Services Department have health examinations and receive immunizations required by law or by the Monroe County Public Health Director.

- E. Preparing and submitting operating and capital budget requests for the Department according to MCH criteria.
- F. Making recommendations for purchase by MCH of capital equipment necessary to run the Department.
- G. Assuring the Department is in compliance with all safety rules and regulations, and is running efficiently by preparing and submitting housekeeping requests to the appropriate MCH departments, and assuring that the workers exercise due care in the use of all equipment.
- H. Assuring compliance with all governmental regulatory agency requirements, including those of the New York State Department of Health, OSHA, and FDA, and maintaining readiness of the Department for all surveys by these and other regulatory agencies including, but not limited to, Criminal History Record Checks and Nurse Aide Registry Checks.

The Laundry Service Profile for 2009 is shown below:

LAUNDRY SERVICE PROFILE	Year End 2009
Total Pounds	2,175,792
Worker hours	45,931
Lbs per paid hour	47.37
Total Pounds of residents clothing	217,456
Census – resident days	201,273
Average pounds per resident day	10.81

2.2.2 Vendor Responsibilities. The selected Respondent will be responsible for the following services:

A) Management

1. Oversee, hire, train, motivate, counsel, discipline, and prepare performance reviews for, all workers required to perform the scope of services under this contract. Document and report to the appropriate supervisory entities, as required, on performance or discipline issues.
2. The selected Respondent shall assign to MCH technically and managerially competent managers.
3. Prepare detailed work protocols, which must identify (1) work to be accomplished, (2) schedule to be performed, and (3) the specific tasks and procedures of work. Distribute work assignments in efficient, balanced manner. Inspect and document performance.
4. The selected Respondent will provide laundry management and operation services in a manner that effectively utilizes MCH resources and promotes a service-minded orientation.
5. The selected Respondent will, in accordance with MCH policies and procedures, communicate on MCH's behalf with governmental agencies, insurance companies, outside Vendors, etc., and report actions and advise MCH accordingly.

- The selected Respondent will provide seminars and training for its management staff and operation workers to upgrade their technical and regulatory skills.

B) Maintenance Program and Performance

- Preventive Maintenance: Inventory all facility equipment, and for each piece assign and administer preventive maintenance work specifications and frequencies to (1) lengthen equipment life; (2) avoid breakdowns; (3) optimize efficiencies; and (4) promote safety. Customize program for each piece of equipment. Additionally, initiate and document routine testing program for all equipment, alarms, etc. requiring routine testing. A list of all current equipment is below:

Name	Serial Number	Model Number
SUSSMAN STEAM TUNNEL	10143	OMNI 2
SHEET SPREADER FEEDER	MA711020036	LP2SSF BRAUN
FLATWORK IRONER	-	CIMR-7.562 E-10
SHEET FOLDER	OMNL295231596	3CF2PF BRAUN
STACKER	ST2951803	LP51 BRAUN
PAD FOLDER	43483	AIR CHICAGO XL
SMALL PIECE	SPF RDM11002431	SPFRDM BRAUN
DRYER #5 (400 LBS)	H12399001	1234-NGF
DRYER #4 (100 LBS)	12812-191	L44CD42S
DRYER #3 (100 LBS)	12817-191	L44CD42S
DRYER #2 (50 LBS)	4953-191	L36URD30S
DRYER #1 (400 LBS)	H1231290175	123H-NGF
WASHER #1 (800 LBS)	NMTDP80086342	800MEDTSL BRAUN
WASHER #2 (400 LBS)	NMTDP40086882	400MDTSL BRAUN
WASHER #3 (400 LBS)	4W1022504030001	450N OP BRAUN
WASHER #4 (55 LBS)	7238801	30022F8J
WASHER #5 (105 LBS)	5398	SP-100-E2 B&C IND
WASHER #6 (20 LBS)	9710/092958	W75 986420112
WASHER #7 (OUT OF ORDER)	9704/036909	FL125 986440028

- Operating Routine: The Vendor must assign supervision/management staff to conduct rounds and monitor laundry service workers.

C) Corporate Support

- The selected Respondent will provide administrative and technical direction in the management of MCH's facilities services.
- The selected Respondent will observe highest technical and professional standards in the discharge of responsibilities in the facilities.
- The selected Respondent's senior management and support workers will undertake regularly scheduled inspection visits to MCH, participate in formal administrative review meetings and ensure goals and objectives of the Laundry Services Department and MCH are met.

4. The selected Respondent will administer and perform annual audits of the management program to monitor performance, and assume primary responsibility in establishing department goals that are consistent with MCH's mission, values and objectives.
5. The selected Respondent shall provide clearly defined work assignments, meet documentation and record keeping requirements, follow laundry services instructions, administer procedures, and ensure compliance with regulatory requirements.

D) **Financial Controls**

The selected Respondent shall provide written justification to the Executive Health Director or their designee of any and all variances from budgeted expenses on a monthly basis.

E) **Quality Assurance**

1. The selected Respondent will implement a Quality Assurance Program that provides an on-going index measuring department performance and user satisfaction. Operating reports will be produced weekly and monthly that monitor open and closed work orders.
2. Work order audits will be performed monthly by the selected Respondent.
3. A client satisfaction survey will be conducted twice annually. Results will be analyzed and corrective action taken as necessary. All actions will be reported to MCH administration.
4. A formal Review Committee consisting of representatives from MCH and the selected Respondent will meet monthly to review department activities, establish priorities and assess results. Minutes of each meeting will be prepared by the selected Respondent and provided to MCH. New goals and objectives will be established.
5. A unit evaluation audit will be performed several times a year by the selected Respondent's support management. This audit reviews compliance of all operating systems to pre-set standards. Results of the audit will be submitted to MCH and shared with the on-site management team.

F) **Miscellaneous**

1. The selected Respondent shall have all responsibility for ordering and tracking of all supplies and materials and equipment necessary to provide full and complete service to MCH. All items must be procured using recognized group purchasing contracts or other acceptable means under New York State Law and Monroe County Purchasing requirements. Respondents shall consider the advantages and disadvantages of MCH's present relationship with the Seagate Alliance when proposing purchasing arrangements. Further information can be obtained at www.seagatealliance.com.

2. The selected Respondent shall be responsible for the hiring or otherwise procuring all applicable workers required to operate the functions detailed in this RFP. All services must be provided in accordance with all applicable Laws, Rules and Regulations.
3. The selected Respondent shall provide human resources, training, accounting and computer hardware and software support to its operations at the facilities.
4. The selected Respondent shall maintain qualified management staff and operations workers on-site who possess the qualifications and licensing required by law for their positions and are satisfactory and acceptable to MCH.
5. The selected Respondent will agree to pay MCH the sum of One Thousand Five Hundred Dollars (\$1,500.00) for any and each deficiency issued to MCH by any regulatory agency as a result of deficient performance by the Vendor in the operation of the Department.
6. In addition, the selected Respondent shall indemnify MCH for any fines that MCH may be subjected to through an enforcement action by the New York State Department of Health or any other regulatory agency.
7. Any damage done to equipment due to negligence in the Department within the span of control of the selected Respondent will be the Respondent's responsibility.
8. The selected Respondent and workers must abide by all MCH policies and procedures while on-site at MCH.

SECTION 3 - SPECIFIC PROPOSAL REQUIREMENTS

3.1 Submission of Respondent's Proposal(s)

- A. Acceptance Period and Location:** To be considered, Respondents must submit a complete response to this RFP. Respondents not responding to all information requested in this RFP or indicating exceptions to those items not responded to may have their proposals rejected as being non-responsive.

Sealed proposals must be received at the address below on or before 3:00 p.m. Eastern Standard Time, on January 28, 2011.

Meagan Brennan
Monroe County Purchasing and Central Services
39 West Main Street
Room 200
Rochester, New York 14614
Email address: mbrennan@monroecounty.gov

Refer to Section 3 for further detail regarding response formats and requirements. There will be no public opening of the proposals.

- B. Withdrawal Notification:** Respondents receiving this RFP who do not wish to submit a proposal should reply with the "No Response Form" [page 2 of this RFP] to be received by the indicated contact on the form no later than the proposal submission date. This RFP is the property of the County and may not be reproduced or distributed for purposes other than proposal submission without the written consent of the Monroe County Attorney.
- C. Required copies:** Respondents must submit one (1) signed original Proposal and eight (8) complete copied sets of the signed original Proposal. **Proposals should be clearly marked as "Proposal for Management and Operations of Laundry Services."** The Respondent must also respond electronically in addition to submitting hardcopies of its proposal as provided above. All sections related to the Scope of Services must be in Microsoft Word format. The Respondent will make no other distribution of proposals. An official authorized to bind the Respondent to its provisions must sign the Proposal.
- D. Pricing Period:** For this RFP, the proposal must remain valid for a minimum of 240 days past the due date for receipt of RFPs.
- E. Economy of Preparation:** Proposals should be prepared as simply as possible and provide a straightforward, concise description of the Respondent's capabilities to satisfy the requirements of the RFP. Expensive bindings, color displays, promotional material, etc. are not necessary or desired. **Emphasis should be concentrated on accuracy, completeness, and clarity of content.** All parts, pages, figures, and tables should be numbered and clearly labeled. Vague terms such as "Respondent complies" or "Respondent understands" should be avoided.

3.2 Response Date

To be considered, sealed proposals must arrive on or before the location, time and date specified in Section 3.1.A. **Requests for extension of the submission date will not be granted.** Respondents mailing proposals should allow ample delivery time to assure timely receipt of their proposals

3.3 Clarification of RFP and Questions

Questions that arise prior to or during proposal preparation must be submitted **in writing or via email** pursuant to the instructions in Section 1 of this RFP. Questions and answers will be provided to all Respondents who have received RFPs and must be acknowledged in the RFP response. No contact will be allowed between the Respondent and any other member of the County with regard to this RFP during the RFP process unless specifically authorized in writing by the RFP Coordinator. Prohibited contact may be grounds for Respondent disqualification.

3.4 Addenda to the RFP

In the event it becomes necessary to revise any part of this RFP, addenda will be provided to all Respondents that received the original RFP. **An acknowledgment of such addenda, if any, must be submitted with the RFP response. Applicants will only receive notices of addenda by downloading the original RFP document via the Monroe County website at www.monroecounty.gov.**

3.5 Organization of Proposal

This section outlines the information that must be included in your proposal. Please respond with your information in the same order as the items in the section.

- A. Transmittal Letter.** Each response to the RFP should be accompanied by a letter of transmittal not exceeding one (1) page that summarizes key points of the proposal and which is signed by an officer of the firm authorized to commit the Respondent to the obligations contained in the proposal. The transmittal letter should also include a phone number, fax number and e-mail address for the Respondent's contact person.
- B. Table of Contents.** Include a Table of Contents at the beginning, which clearly outlines the contents of your proposal.
- C. Company Information.** Provide information related to your company and any companies you are proposing to use as sub-contractors. Specifically address the following:
 - 1. Year the company was organized.
 - 2. Identification of company ownership.

3. Financial history of the company covering the last three years. Attach the most recent copy of your latest financial statements prepared by an independent certified public accountant in accordance with generally accepted accounting principals. Also include the following information: current balance sheet, statement of revenues and expenses, statement of cash flows, and appropriate notes to these documents. 501(c)(3) organizations must submit their most recent Form 990.
4. Functions and location of your nearest regional office to Monroe County.
5. Anticipated growth of your organization including expansion of the client base and acquisitions
6. Any conflicts of interest that may affect the County's potential selection of, or entering into an agreement with, your organization, i.e. your organization currently holds an agreement with the County for other services, a relative of any employee if the Respondent is a member of the selection committee, etc.

D. Experience. Provide information that clearly demonstrates your organization's prior experience and background (both business and technical) in engagements similar to this project. This section must include:

1. A list of all public sector clients in the State of New York, the dates of engagement for each client. Include the following information for each public sector client:
 - a. Name and address of the client;
 - b. Approximate annual budget;
 - c. Name and telephone number of contact person;
 - d. Summary of the savings and/or cost reductions obtained on behalf of the client as a result of your services.
2. Résumés for the key personnel to be involved in providing services to the County. Provide a corporate organizational chart and describe the function of each position. List the individual technical skills the organization supports i.e. Mechanical Engineering, etc. Identify the technical support available to the on-site management team. Provide bios and credentials. On-Site Management Structure: Provide an organizational chart of the planned management team structure. Identify the specific title, and duties for each manager, supervisor and secretary. Explain the span of control/responsibility for each manager and supervisor.

Provide the resume for the proposed Director of Facilities. The Owner retains the right to interview and approve all Vendor candidates for on-site management positions prior to appointment.

Describe the methodologies for selecting, training and developing Vendor's managers and supervisors. Describe initial and on-going training programs for management. Describe proposed approach to orienting management to the facilities.

E. Respondent's proposal. Respondent must submit a detailed Project Narrative and Work Plan that describes:

- 1) its expertise and that of its proposed management staff and how its management procedures will ensure quality work is performed;
- 2) how its proposed services and proposed work plan will meet the tasks and deliverables as described in Section 2 of this Request for Proposals;
- 3) proposed quality control mechanisms that ensure a high level of quality and commitment to excellence;
- 4) a detailed staffing plan, including any deviations from the current state listed in Section 2;
- 5) a Strategic Approach and Implementation Plan, as outlined below:
 - A) Provide a detailed plan for implementing the Respondent's POM program. The plan must identify specific objectives, activities and timetables. Identify the additional corporate resources and personnel to be assigned to the implementation plan, and it must be fully implemented within 90 days of start of the Agreement.
 - B) Describe plan for acquiring supplies and equipment for the program. Respondents must provide a specific listing of all, equipment and tools to be provided.
- 6) a description of all Systems and Programs, as outlined below:
 - A) Provide a detailed explanation of Respondent's quality assurance system, client satisfaction and patient satisfaction. Provide samples of forms and reports.
 - B) Describe education program for workers, detailing how the Respondent plans to train workers in assignment-specific and regulatory-mandated skills. Illustrate program with sample forms.
 - C) Thoroughly describe the Respondent's Human Resources program, including approach to counseling, discipline, termination, promotion and worker recognition. Describe the Respondent's worker motivation and communication programs.
 - D) Describe Company financial and hours control programs. Provide sample forms to illustrate program.
 - E) Describe company program for informing/reporting program performance to MCH.
 - F) Identify the approach utilized to ensure that MCH complies with all regulatory agencies (i.e. OSHA, NFPA etc.).

- G) The Respondent will be responsible for coordinating and conducting weekly safety and environmental inspections for MCH. Describe the process and tools that will be utilized to ensure an effective and quality program.

F. Cost Proposal. The proposal shall detail the following components:

- 1) Management Fee - Annual fixed fee that covers the cost of providing management services.
- 2) Salaries and Benefits of Management Personnel.
- 3) Salaries and Benefits of non-Management Personnel.
- 4) Miscellaneous Costs.
- 5) Respondents must provide detailed cost by year for each of the five years of the proposal period. Respondents must provide a five-year total for all costs. Respondents must provide a detailed schedule of start-up costs.
- 6) Respondents must detail the proposed method of compensation for the services.

G. Insurance Certificates. Each Respondent must supply a copy of their current Certificate of Insurance showing the insurance coverage at or above those described in Section 4.13 of this RFP.

H. Exceptions to General Information for the Respondent. For all exceptions to Section 4, the Respondent must indicate on a separate sheet labeled "Exceptions Taken to the General Information for the Respondent", the section number of any requirement to which an exception is being taken and an explanation of their position.

I. Exceptions to the Standard Monroe County Contract. For all exceptions to the Standard Monroe County Contract, the Respondent must indicate on a separate sheet labeled "Exceptions Taken to the Standard Monroe County Contract," the section number of any requirement to which an exception is being taken and an explanation of their position. It is not intended that new contract wording be proposed by the Respondent, but rather that the Respondent explain their position so that the conflict can be evaluated. If no exceptions are noted, the Respondent is presumed to have agreed with all sections of the standard contract.

J. Certification. Proposals should include a letter from an authorized corporate officer certifying the accuracy of the information provided and guaranteeing the proposed prices.

3.6 Method of Evaluation

A. Evaluation Committee: Selected personnel from the County will form the evaluation committee for this RFP. It will be the responsibility of this

committee to evaluate all properly prepared and submitted proposals for the RFP and make a recommendation for award.

B. Evaluation and Selection Criteria: All properly prepared and submitted proposals shall be subject to evaluation deemed appropriate for the purpose of selecting the Respondent with whom a contract may be signed. Responses to this RFP will be evaluated according to criteria determined by the selection committee, including but not limited to:

- ◆ Proposed Fees
- ◆ Understanding of the Project
- ◆ Degree of Relevant Experience
- ◆ Technical Competence
- ◆ References
- ◆ Capacity and Availability to Perform the Services
- ◆ Local Office
- ◆ Other pertinent criteria

C. Contract Approval Process: Respondents must be aware that any contract resulting from this request for proposals is subject to prior approval by the Monroe County Legislature and the Monroe County Law Department. MCH anticipates awarding this contract on or before June 1, 2011, pending Legislative approval.

3.7 Oral Presentation

Respondents who submit a proposal may also be required to make an oral presentation of their proposal to the County. These presentations will provide an opportunity for the Respondent to clarify their proposal to ensure a thorough mutual understanding. At the same time, the County is under no obligation to offer any Respondent the opportunity to make such a presentation.

3.8 Investigations

The County reserves the right to conduct any investigations necessary to verify information submitted by the Respondent and/or to determine the Respondent's capability to fulfill the terms and conditions of the RFP contract document. The County reserves the right to visit a prospective Respondent's place of business to verify the existence of the company and the management capabilities required to administer this agreement. The County will not consider Respondents that are in bankruptcy or in the hands of a receiver at the time of tendering a proposal or at the time of entering into a contract.

SECTION 4 - GENERAL INFORMATION FOR THE RESPONDENT

4.1 Reservation of Rights

The County reserves the right to refuse any and all proposals, in part, or in their entirety, or select certain products from various Respondent proposals, or to waive any informality or defect in any proposal should it be deemed to be in the best interest of the County. The County is not committed, by virtue of this RFP, to award a contract, or to procure or contract for services. The proposals submitted in response to this request become the property of the County. If it is in its best interest to do so, the County reserves the right to:

- A. Make selections based solely on the proposals or negotiate further with one or more Respondents. The Respondent selected will be chosen on the basis of greatest benefit to the County as determined by an evaluation committee.
- B. Negotiate contracts with the selected Respondents.
- C. Award a contract to more than one Respondent.

4.2 Contract Negotiation

Negotiations may be undertaken with those Respondents whose proposals prove them to be qualified, responsible, and capable of fulfilling the requirements of this RFP. The contract that may be entered into will be the most advantageous to the County, price and other factors considered. The County reserves the right to consider proposals or modifications thereof received at any time before a contract is awarded, if such action is in the best interest of the County. Attached as RFP Appendix A is a copy of the Standard Monroe County Contract which contains mandatory provisions.

4.3 Acceptance of Proposal Content

The contents of the proposal of the successful Respondent may become contractual obligations, should a contract ensue. Failure of a Respondent to accept these obligations may result in cancellation of the award. The awarded respondent will be required to provide Monroe County with a *Word* version of its final proposal.

4.4 Prime Responsibilities

The selected Respondent will be required to assume responsibility for all services offered in its proposal whether or not provided by them. The selected Respondent will be liable, both individually and severally, for the performance of all obligations under the awarded contract and will not be relieved of non-performance of any of its subcontractors. Further, the County shall approve all subcontractors and will consider the selected Respondent to be the sole point of contact with regard to contractual matters, including payment of any and all charges resulting from the contract.

4.5 Property Rights

For purposes of this RFP and for the contract, the term “Work” is defined as all data, records, files, information, work products, discs or tapes developed, produced or generated in connection with the services to be provided by the Respondent. The County and the Respondent intend the contract to be a contract for services and each considers the Work and any and all documentation or other products and results of the services to be rendered by the Respondent to be a work made for hire. In submitting a proposal in response to this RFP, the Respondent acknowledges and agrees that the Work (and all rights therein) belongs to and shall be the sole and exclusive property of the County.

The Respondent and the Respondent’s employees shall have no rights in or ownership of the Work and any and all documentation or other products and results of the services or any other property of the County. Any property or Work not specifically included in the Contract as property of the Respondent shall constitute property of the County.

In addition to compliance with the right to audit provisions of the contract, the Respondent must deliver to the County, no later than the twenty-four (24) hours after receipt of the County’s written request for same; all completed, or partially completed, Work and any and all documentation or other products and results of the services under such contract. The Respondent’s failure to timely deliver such work or any and all documentation or other products and results of the services will be considered a material breach of the contract. With the prior written approval of the County, this twenty-four (24) hour period may be extended for delivery of certain completed, or partially completed, work or other such information, if such extension is in the best interests of the County.

The Respondent will not make or retain any copies of the Work or any and all documentation or other products and results of the services provided under such Contract without the prior written consent of the County.

4.6 Contract Payment

Actual terms of payment will be the result of agreements reached between Monroe County and the Respondent selected.

4.7 News Release

News releases pertaining to this RFP or the services to which it relates will not be made without prior approval by the County and then only in coordination with the County Department of Communications and Special Events.

4.8 Notification of Respondent Selection

All Respondents who submit proposals in response to this RFP will be notified by the RFP Coordinator of acceptance or rejection of their proposal.

4.9 Independent Price Determination

- A. By submission of a proposal, the Respondent certifies, and in case of a joint proposal, each party thereto certifies as to its own organization, that in connection with the proposal:
- (1) The prices in the proposal have been arrived at independently without consultation, communication, or agreement, with any other Respondent or competitor for the purpose of restricting competition; and
 - (2) No attempt has been made or will be made by the Respondent to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.
- B. Each person signing the proposal certifies that:
- (1) They are the person in the Respondent's organization responsible within that organization for the decision as to prices being offered in the proposal and they have not participated and will not participate in any action contrary to A (1) and (2) above; or
 - (2) They are not the person in the Respondent's organization responsible within that organization for the decision as to prices being offered in the proposal but that he has been authorized in writing to act as agent for the persons responsible for such decisions in certifying that such persons have not participated, and will not participate, in any action contrary to A (1) and (2) above, and that as their agent, does hereby so certify; and that he has not participated, and will not participate in any action contrary to A (1) and (2) above.
- C. A proposal will not be considered for award if the sense of the statements required in the proposal has been altered so as to delete or modify A (1) and (2) above.

4.10 Incurring Costs

The County is not liable for any costs incurred by Respondent prior to the effective date of the contract.

4.11 Material Submitted

All right, title and interest in the material submitted by the Respondent as part of a proposal shall vest in Monroe County upon submission of the Respondent's proposal to Monroe County without any obligation or liability by Monroe County to the Respondent. Monroe County has the right to use any or all ideas presented by a Respondent.

Monroe County reserves the right to ownership, without limitation, of all proposals submitted. However, because Monroe County could be required to disclose proposals under the New York Freedom of Information Law (Public Officers Law §§ 84 – 90), Monroe County will, to the extent permitted by law,

seek to protect the Respondent's interests with respect to any trade secret information submitted as follows:

Pursuant to Public Officers Law § 87, Monroe County will deny public access to Respondent's proposal to the extent the information constitutes a trade secret, which if disclosed would cause substantial harm to the Respondent's competitive position, provided the Respondent identified the information it considers to be a trade secret and explains how disclosure would cause harm to the Respondent's competitive position.

4.12 Indemnification

The Respondent shall defend, indemnify and save harmless the County, its officers, agents, servants and employees from and against all liability, damages, costs or expenses, causes of actions, suits, judgments, losses, and claims of every name not described, including attorneys' fees and disbursements, brought against the County which may arise, be sustained, or occasioned directly or indirectly by any person, firm or corporation arising out of or resulting from the performance of the services by the Respondent, its agents or employees, the provision of any products by the Respondent, its agents or employees, arising from any act, omission or negligence of the Respondent, its agents or employees, or arising from any breach or default by the Respondent, its agents or employees under the Agreement resulting from this RFP. Nothing herein is intended to relieve the County from its own negligence or misfeasance or to assume any such liability for the County by the Respondent.

4.13 Insurance Requirements

The Respondent shall procure and maintain at their own expense until final completion of the work covered by the Contract, insurance for liability for damages imposed by law of the kinds and in the amounts hereinafter provided, issued by insurance companies authorized to do business in the State of New York, covering all operations under the Contract whether performed by the Respondent or by their subcontractors.

The successful Respondent shall furnish to the County a certificate or certificates of insurance in a form satisfactory to the County Attorney showing that he has complied with all insurance requirements set forth in the contract for services, that certificate or certificates shall provide that the policies shall not be changed or canceled until thirty (30) days written notice has been given to the County. Except for Workers' Compensation Insurance, no insurance required herein shall contain any exclusion of municipal operations performed in connection with the Contract resulting from this proposal solicitation. The kinds and amounts of insurance are as follows:

- A. **WORKERS' COMPENSATION AND DISABILITY INSURANCE:** A policy covering the operations of the Respondent in accordance with the provisions of Chapter 41 of the Laws of 1914, as amended, known as the Workers' Compensation Law, covering all operations under contract, whether performed by them or by their subcontractors. The Contract shall be void and of no effect unless the person or corporation making or executing same shall secure compensation coverage for the benefits of,

and keep insured during the life of said Contract, such employees in compliance with the provisions of the Workers' Compensation Law known as the Disability Benefits Law (chapter 600 of the Laws of 1949) and amendments hereto.

- B. LIABILITY AND PROPERTY DAMAGE INSURANCE issued to the Respondent naming Monroe County as an additional insured, and covering liability with respect to all work performed by him under the Contract. The minimum limits for this policy for property damage and personal injury shall be \$1,000,000 per occurrence and \$3,000,000 aggregate covered under liability and damage property. All of the following coverage shall be included:

Comprehensive Form
Premises-Operations
Products/Completed Operations
Contractual Insurance covering the Hold Harmless Provision
Broad Form Property Damage
Independent Respondents
Personal Injury

- C. CONTRACTOR'S PROTECTIVE LIABILITY INSURANCE issued to the Respondent and covering the liability for damages imposed by law upon the said Respondent for the acts or neglect of each of his subcontractors with respect to all work performed by said subcontractors under the Contract.
- D. PROFESSIONAL LIABILITY INSURANCE covering errors and omissions of the Respondent with minimum limits of \$2,000,000 per occurrence and \$3,000,000 aggregate coverage.
- E. MOTOR VEHICLE INSURANCE issued to the Respondent and covering liability and property damage on the Respondent's vehicles in the amount of \$1,000,000 per occurrence.

4.14 Proposal Certification

The Respondent must certify that all material, supervision, and personnel will be provided as proposed, at no additional cost above the proposal price. Any costs not identified and subsequently incurred by the County must be borne by the Respondent. This certification is accomplished by having the Proposal signed by an individual who has the authority to bind the Respondent.

APPENDIX A:

STANDARD MONROE COUNTY CONTRACT

The County contemplates that, in addition to all terms and conditions described in this RFP, final agreement between the County and the selected Respondent will include, without limitation, the terms contained in this Appendix A, Standard Monroe County Contract.

Respondents should note that, at a minimum, all the contractual provisions included in the sample contract herein will automatically be deemed part of the final Contract. Although such provisions will govern all proposals as submitted, the County may later amend such provisions. The sample contract is included so that all proposals will be governed by the same contractual terms

THIS AGREEMENT, made this [REDACTED] day of [REDACTED], 20__, by and between MONROE COUNTY, a municipal corporation, with offices at 39 West Main Street, Rochester, New York 14614, hereinafter referred to as the "COUNTY", and [REDACTED], with offices at [REDACTED], hereinafter referred to as the "CONTRACTOR".

WITNESSETH:

WHEREAS, the County is desirous of obtaining the services of the CONTRACTOR to perform the scope of work set forth in Section 1 hereof, and

WHEREAS, the COUNTY issued a Request for Proposal ("RFP"), and

WHEREAS, the CONTRACTOR has submitted a proposal to perform the requested services, and

WHEREAS, the County Legislature of the County of Monroe by Resolution No. _____ of 20__, authorized the County Executive, or her designee, to enter into a contract for services as hereinafter described, and

WHEREAS, the CONTRACTOR is willing, able, and qualified to perform such services,

NOW, THEREFORE, in consideration of the mutual covenants and agreements hereinafter set forth the parties hereto mutually agree as follows:

I. SCOPE OF SERVICES

The Contractor shall perform the following services for the County:

A.

B.

II. TERM OF CONTRACT

The term of this Agreement shall be for the period of _____ through _____.

This Agreement shall remain in effect for the period specified above, unless it is terminated by either party hereto, upon _____ 60 _____ day's prior written notice sent by registered or certified mail to the County's _____ Director or the Contractor. This notice shall be sent to the respective party at the addresses first above set forth or at such other address as specified in writing by either party. Upon termination of this Agreement, the Contractor shall have no further responsibility to the County or to any other person with respect to those services specified in this Agreement. Upon termination of this Agreement, the County shall be obligated to pay the Contractor for services only performed through the date of termination. Following such payment, the County shall have no further obligations to the Contractor under this Agreement.

III. PAYMENT FOR SERVICES

The County agrees to pay the Contractor, and the Contractor agrees to be paid, a sum in full satisfaction of all expenses and compensation due the Contractor not to exceed _____ (\$_____).

Payment by the County for the sum(s) herein contracted for shall be made upon the submission of properly executed Monroe County claim vouchers, supported with such information and documentation necessary to substantiate the voucher, approved by the County's Director of _____, or by his/her designee, and audited by the Controller of the County.

The County may audit records relating to expenses for services provided by the Contractor pursuant to this Agreement at any time during this Agreement and through and including twelve (12) months following this Agreement.

The Contractor shall prepare and make available such statistical and financial service and other records requested by the County. These records shall be subject at all reasonable times to inspection, review or audit by the County, the State of New York and other personnel duly authorized by the County. These records shall be maintained for the period set forth in the State regulations.

IV. AMENDMENTS

This Agreement may be modified or amended only in writing duly executed by both parties. Any modification or amendment shall be attached to and become part of this Agreement. All notices concerning this Agreement shall be delivered in writing to the parties at the principal addresses as set forth above unless either party notifies the other of a change in address.

V. INSURANCE

The Contractor will at its own expense, procure and maintain a policy or policies of insurance during the term of this Agreement. The policy or policies of insurance required are standard Workers' Compensation and Disability Insurance, if required by

law; professional liability and general liability insurance (including, without limitation, contractual liability) with single limits of liability in the amount of \$1,000,000 per occurrence, and \$3,000,000 aggregate coverage; automobile liability insurance in the amount of \$1,000,000 with a minimum of \$1,000,000 each occurrence, bodily injury, and property damage. Original certificates evidencing such coverage and indicating that such coverage will not be cancelled or amended in any way without thirty (30) days prior written notice to the County, shall be delivered to the County before final execution of this Agreement and original renewal certificates conforming to the requirements of this section shall be delivered to the County at least sixty (60) days prior to the expiration of such policy or policies of insurance. The Contractor's general liability insurance shall provide for and name Monroe County as an additional insured. All policies shall insure the County for all claims arising out of the Agreement. All policies of insurance shall be issued by companies in good financial standing duly and fully qualified and licensed to do business in New York State or otherwise acceptable to the County.

If any required insurance coverage contain aggregate limits or apply to other operations of the Contractor, outside of those required by this Agreement, the Contractor shall provide Monroe County with prompt written notice of any incident, claims settlement, or judgment against that insurance which diminishes the protection of such insurance affords Monroe County. The Contractor shall further take immediate steps to restore such aggregate limits or shall provide other insurance protection for such aggregate limits.

VI. INDEMNIFICATION

The Contractor shall defend, indemnify and save harmless the County, its officers, agents, servants and employees from and against all liability, damages, costs or expenses, causes of actions, suits, judgments, losses, and claims of every name not described, including attorneys' fees and disbursements, brought against the County which may arise, be sustained, or occasioned directly or indirectly by any person, firm or corporation arising out of or resulting from the performance of the services by the Contractor, its agents or employees, the provision of any products by the Contractor, its agents or employees, arising from any act, omission or negligence of the Contractor, its agents or employees, or arising from any breach or default by the Contractor, its agents or employees under the Agreement resulting from this RFP. Nothing herein is intended to relieve the County from its own negligence or misfeasance or to assume any such liability for the County by the Contractor.

VII. INDEPENDENT CONTRACTOR

For the purpose of this Agreement, the Contractor is and shall in all respects be considered an independent contractor. The Contractor, its individual members, directors, officers, employees and agents are not and shall not hold themselves out nor claim to be an officer or employee of Monroe County nor make claim to any rights accruing thereto, including, but not limited to, Workers' Compensation, unemployment benefits, Social Security or retirement plan membership or credit.

The Contractor shall have the direct and sole responsibility for the following: payment of wages and other compensation; reimbursement of the Contractor's employees'

expenses; compliance with Federal, state and local tax withholding requirements pertaining to income taxes, Workers' Compensation, Social Security, unemployment and other insurance or other statutory withholding requirements; and all obligations imposed on the employer of personnel. The County shall have no responsibility for any of the incidences of employment.

VIII. TITLE TO WORK

- A. The title to all work performed by the Contractor and any unused materials or machinery purchased by the Contractor with funds provided by the County in order to accomplish the work hereunder shall become legally vested to the County upon the completion of the work required under this Agreement. The Contractor shall obtain from any subcontractors and shall transfer, assign, and/or convey to Monroe County all exclusive, irrevocable, or other rights to all work performed under this Agreement, including, but not limited to trademark and/or service mark rights, copyrights, publication rights, distribution rights, rights of reproduction, and royalties.
- B. No information relative to this Agreement shall be released by the Contractor or its employees for publication, advertising or for any other purpose without the prior written approval of the County. The Contractor hereby acknowledges that programs described herein are supported by this Agreement by the County and the Contractor agrees to state this fact in any and all publicity, publications and/or public information releases.

IX. EXECUTORY NATURE OF CONTRACT

This Agreement shall be deemed executory only to the extent of the funding available and the County shall not incur any liability beyond the funds annually budgeted therefore. The County may make reductions in this Agreement for the loss/reduction in State Aid or other sources of revenues. If this occurs, the Contractor's obligations regarding the services provided under this Agreement may be reduced correspondingly.

X. NO ASSIGNMENT WITHOUT CONSENT

The Contractor shall not, in whole or in part, assign, transfer, convey, sublet, mortgage, pledge, hypothecate, grant any security interest in, or otherwise dispose of this Agreement or any of its right, title or interest herein or its power to execute the Agreement, or any part thereof to any person or entity without the prior written consent of the County.

XI. FEDERAL SINGLE AUDIT ACT

In the event the Contractor is a recipient through this Agreement, directly or indirectly, of any funds of or from the United States Government, Contractor agrees to comply fully with the terms and requirements of Federal Single Audit Act [Title 31 United States Code, Chapter 75], as amended from time to time. The Contractor shall

comply with all requirements stated in Federal Office of Management and Budget Circulars A- 102, A-110 and A-133, and such other circulars, interpretations, opinions, rules or regulations that may be issued in connection with the Federal Single Audit Act.

Of the amount specified in Section [] of this Agreement, [] (\$ []) of such amount or [] ([]%) of such amount, is being passed-through the County from the United States Government under the following:

Award Name:

Award Number:

Award Year:

Name of Federal Agency:

Catalog of Federal Domestic Assistance (CFDA) Number:

The Award [] is [] is not related to Research and Development.

If on a cumulative basis the Contractor expends Five Hundred Thousand and no/100 Dollars (\$500,000.00) or more in federal funds in any fiscal year, it shall cause to have a single audit conducted, the Data Collection Form (defined in Federal Office of Management and Budget Circular A-133) shall be submitted to the County; however, if there are findings or questioned costs related to the program that is federally funded by the County, the Contractor shall submit the complete reporting package (defined in Federal Office of Management and Budget Circular A-133) to the County.

If on a cumulative basis the Contractor expends less than Five Hundred Thousand and no/100 Dollars (\$500,000.00) in federal funds in any fiscal year, it shall retain all documents relating to the federal programs for three (3) years after the close of the Contractor's fiscal year in which any payment was received from such federal programs.

All required documents must be submitted within nine (9) months of the close of the Contractor's fiscal year end to:

Monroe County Internal Audit Unit
401 County Office Building
39 West Main Street
Rochester, New York 14614

The Contractor shall, upon request of the County, provide the County such documentation, records, information and data and response to such inquiries as the County may deem necessary or appropriate and shall fully cooperate with internal and/or independent auditors designated by the County and permit such auditors to

have access to, examine and copy all records, documents, reports and financial statements as the County deems necessary to assure or monitor payments to the Contractor under this Agreement.

The County's right of inspection and audit pursuant to this Agreement shall survive the payment of monies due to Contractor and shall remain in full force and effect for a period of three (3) years after the close of the Contractor's fiscal year in which any funds or payment was received from the County under this Agreement.

XII. RIGHT TO INSPECT

Designated representatives of the County shall have the right to monitor the provision of services under this Agreement which includes having access at reasonable times and places to the Contractor's employees, reports, books, records, audits and any other material relating to the delivery of such services. The Contractor agrees to maintain and retain all pertinent records related to this Agreement for a period of ten (10) years after final payment.

XIII. JOB OPENINGS

The Contractor recognizes the continuing commitment on the part of Monroe County to assist those receiving temporary assistance to become employed in jobs for which they are qualified, and the County's need to know when jobs become available in the community.

The Contractor agrees to notify the County when the Contractor has or is about to have a job opening within Monroe County. Such notice shall be given as soon as practicable after the Contractor has knowledge that a job opening will occur. The notice shall contain information that will facilitate the identification and referral of appropriate candidates in a form and as required by the Employment Coordinator. This would include at least a description of conditions for employment, including the job title and information concerning wages, hours per work week, location and qualifications (education and experience.)

Notice shall be given in writing to:

Employment Coordinator
Monroe County Department of Human Services
Room 535
691 St. Paul St.
Rochester, New York 14605
Fax: (585) 753-6322
Telephone: (585) 753-6308

The Contractor recognizes that this is an opportunity to make a good faith effort to work with Monroe County for the benefit of the community. Nothing contained in this provision, however, shall be interpreted as an obligation on the part of the Contractor to employ any individual who may be referred by or through the County for job openings as a result of the above notice. Any decisions made by the Contractor to hire any individual referred by or through the County shall be voluntary and based solely

upon the Contractor's job requirements and the individual's qualifications for the job, as determined by the Contractor.

XIV. NON-DISCRIMINATION

During the performance of the Agreement, the Contractor agrees as follows:

The Contractor agrees that in carrying out its activities under the terms of this Agreement, that it shall not discriminate against any person due to race, color, creed, genetic disposition or carrier status, sexual orientation, sex, age, disability, marital status, military status, or national origin, and that at all times, it will abide by the applicable provisions of the Human Rights Law of the State of New York as presently set forth in Sections 290-301 of the Executive Law of New York State.

Such action shall be taken with reference, but not limited to: recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff or termination, rates of pay or other forms of compensation, and selection for training or retraining, including apprenticeship and on-the-job training.

The Contractor will send to each labor union or representative of workers with which it has or is bound by a collective bargaining agreement or other agreement of understanding, a notice, to be provided by the State Division of Human Rights, advising such labor unions or representative of the Contractor's agreement under these clauses (hereinafter call "non-discrimination clauses".)

If the Contractor was directed to do so by the contracting agency as part of the bid or negotiation of this agreement, the Contractor shall request such labor union or representative to furnish it with a written statement that such labor union or representative will not discriminate because of age, sex, race, creed, color, national origin sexual orientation, military status, disability, predisposing genetic characteristics, or marital status and that such labor union or representative either will affirmatively cooperate, within the limits of its legal and contractual authority, in the implementation of the policy and provisions of these non-discrimination clauses or that it consents and agrees that recruitment, employment and terms and conditions of employment under this agreement shall be in accordance with the purposes and provisions of these non-discrimination clauses.

If such labor union or representative fails or refuses to comply with such a request that it furnish such a statement, the Contractor shall promptly notify the State Division of Human Rights of such failure or refusal.

The Contractor will post and keep posted in conspicuous places, available to employees and applicants for employment, notices to be provided by the NYS Division of Human Rights setting forth the substance of provisions of clauses A and B and such provisions of New York State laws against discrimination as the NYS Division of Human Rights shall determine.

The Contractor will state, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, that all qualified applicants will be afforded equal employment opportunities without discrimination because of age, race, creed, color,

national origin, sexual orientation, military status, disability, predisposing genetic characteristics, or marital status.

The Contractor will comply with the provisions of Sections 291-299 of the Executive Law and the Civil Rights Law, will furnish all information and reports deemed necessary by the New York State (NYS) Division of Human Rights under these non-discrimination clauses and such sections of the Executive Law, and will permit access to its books, records and accounts by the NYS Division of Human Rights, the NYS Attorney General and Industrial Commissioner for purposes of investigation to ascertain compliance with these non-discrimination clauses and such sections of the Executive Law and Civil Rights Law.

This agreement may be forthwith canceled, terminated, suspended in whole or in part, by the County Office upon the basis of a finding made by the NYS Division of Human Rights that the Contractor may be declared ineligible for future contracts made by or on behalf of New York State or public authority or agency of New York State, until it satisfies the NYS Division of Human Rights that it has established and is carrying out a program in conformity with the provisions of these non-discrimination clauses.

Such findings shall be made by the NYS Division of Human Rights after conciliation efforts by the Division failed to achieve compliance with these non-discrimination clauses and after a verified complaint has been filed with the Division, notice thereof has been given to the Contractor and an opportunity has been afforded it to be heard publicly before three members of the Division.

Such sanctions may be imposed and remedies invoked independently of or in addition to sanctions and remedies otherwise provided by law.

The Contractor will include the provisions of the above clauses in every subcontract or purchase order in such manner that such provisions will be binding upon each subcontractor or vendor as to operations to be performed within New York. The Contractor will take such action in enforcing such provisions of such subcontract or purchase order as the contracting agency may direct, including sanctions or remedies for non-compliance.

If the Contractor becomes involved in or is threatened with litigation by a subcontractor or vendor as a result of such direction by the contracting agency, the Contractor shall promptly so notify the Attorney General, requesting him to intervene and protect the interests of Monroe County and the State of New York.

XV. CONTRACTOR QUALIFIED, LICENSED, ETC.

The Contractor represents and warrants to the County that it and its employees is duly and fully qualified under the laws of the state of its incorporation and of the State of New York, to undertake the activities and obligations set forth in this Agreement, that it possesses as of the date of its execution of this Agreement, and it will maintain throughout the term hereof, all necessary approvals, consents and licenses from all applicable government agencies and authority and that it has taken and secured all necessary board of directors and shareholders action and approval.

XVI. CONFIDENTIAL INFORMATION

- A. For the purpose of this Agreement, “Confidential Information” shall mean information or material proprietary to the County or designated as “Confidential Information” by the County, and not generally known by non-County personnel, which Contractor may obtain knowledge of or access to as a result of a contract for services with the County. The Confidential Information includes, but is not limited to, the following types of information or other information of a similar nature (whether or not reduced to writing): methods of doing business, computer programs, computer network operations and security, finances and other confidential and proprietary information belonging to the County. Confidential Information also includes any information described above which the County obtained from another party which the County treats as proprietary or designates as Confidential Information, whether or not owned or developed by the County. Information publicly known and that is generally employed by the trade at the time that Contractor learns of such information or knowledge shall not be deemed part of the Confidential Information.

1. Scope of Use

- a. Contractor shall not, without prior authorization from Monroe County, acquire, use or copy, in whole or in part, any Confidential Information.
- b. Contractor shall not disclose, provide or otherwise make available, in whole or in part, the Confidential Information other than to those employees of Contractor who have executed a confidentiality agreement with the County, have a need to know such Confidential Information, and who have been authorized by Monroe County to receive such Confidential Information.
- c. Contractor shall not remove or cause to be removed, in whole or in part, from County facilities, any Confidential Information, without the prior written permission of Monroe County.
- d. Contractor shall take all appropriate action, whether by instruction, agreement or otherwise, to insure the protection, confidentiality and security of the Confidential Information and to satisfy its obligations under this Confidentiality Agreement.

2. Nature of Obligation

- a. Contractor acknowledges that the County, because of the unique nature of the Confidential Information, would suffer irreparable harm in the event that Contractor breaches its obligation under this Agreement in that monetary damages would be inadequate to compensate the County for such a breach. The parties agree that

in such circumstances, the County shall be entitled, in addition to monetary relief, to injunctive relief as may be necessary to restrain any continuing or further breach by Contractor, without showing or proving any actual damages sustained by the County.

XVII. GENERAL PROVISIONS

This Agreement constitutes the entire Agreement between the County and the Contractor and supersedes any and all prior Agreements between the parties hereto for the services herein to be provided. The Agreement shall be governed by and construed in accordance with the laws of New York State without regard or reference to its conflict of law principles.

XVIII. FEDERAL, STATE AND LOCAL LAW AND REGULATIONS COMPLIANCE

Notwithstanding any other provision in this Agreement, the Contractor remains responsible for ensuring that any service(s) provided pursuant to this Agreement complies with all pertinent provisions of Federal, State and local statutes, rules and regulations.

XIX. USAGE OF COMPUTER AND ELECTRONIC EQUIPMENT

The Contractor acknowledges and agrees that usage of any computer hardware, computer software and/or electronic equipment used in the course of carrying out duties under this Agreement will be governed by all applicable laws, rules and regulations, including County policies and procedures.

XX. MISCELLANEOUS

The Contractor agrees to comply with all confidentiality and access to information requirements in Federal, State and Local laws and regulations, including those listed in Appendix B, HIPAA Business Associate Addendum. In the event that a dispute arises between the parties, venue for the resolution of such dispute shall be the County of Monroe, New York.

XXI. NO-WAIVER

In the event that the terms and conditions of this Agreement are not strictly enforced by the County, such non-enforcement shall not act as or be deemed to act as a waiver or modification of this Agreement, nor shall such non-enforcement prevent the County from enforcing each and every term of this Agreement thereafter.

XXII. SEVERABILITY

If any provision of this Agreement is held invalid by a court of law, the remainder of this Agreement shall not be affected thereby if such remainder would then continue to conform to the laws of the State of New York.

**CONTRACT APPENDIX A
CERTIFICATION REGARDING
DEBARMENT, SUSPENSION, AND RESPONSIBILITY**

The undersigned certifies, to the best of his/her knowledge and belief, that the Contractor and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
2. Have not within a three-year period preceding this transaction/application/proposal/ contract/agreement 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;
3. 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 2 of this certification; and
4. Have not within a three-year period preceding this transaction/application/proposal/contract/agreement had one or more public transactions (Federal, State or local) terminated for cause or default.

Date: _____

[Print Name of Contractor]

By: _____
[Print Signature]

[Print Name]

[Print Title/Office]

CONTRACT APPENDIX B
HIPAA BUSINESS ASSOCIATE ADDENDUM
(Privacy, Security, HITECH Act)

This HIPAA Business Associate Addendum ("Addendum") supplements and is made a part of the Agreement by and between Monroe County (hereinafter "Covered Entity" in this Addendum) and Contractor (hereinafter "Business Associate" in this Addendum) and is effective as of April 14, 2003 or the date of the Agreement, whichever is later, (the "Addendum Effective Date").

I. RECITALS

A. Covered Entity wishes to disclose certain information to Business Associate pursuant to the terms of the Agreement, some of which may be Protected Health Information (PHI) as defined below, in fulfilling their responsibilities under the arrangement.

B. Covered Entity and Business Associate intend to protect the privacy and provide for the security of Protected Health Information disclosed to Business Associate pursuant to the Agreement in compliance with the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 ("HIPAA") and regulations promulgated thereunder by the U.S. Department of Health and Human Services (the "HIPAA Regulations") and other applicable laws.

C. As part of the HIPAA Regulations, the Privacy Rule (defined below) requires Covered Entity to enter into a contract with Business Associate containing specific requirements prior to the disclosure of Protected Health Information, as set forth in, but not limited to, Title 45, Sections 164.502(e), and 164.504(e) of the Code of Federal Regulations ("CFR") and contained in this Addendum.

D. As part of the American Recovery and Reinvestment Act of 2009 (Pub.L. 111-5), pursuant to Title XIII of Division A and Title IV of Division B, called the "Health Information Technology for Economic and Clinical Health" ("HITECH") Act, provides modifications to the HIPAA Privacy and Security Rule (hereinafter, all reference to the "HIPAA Privacy and Security Rule" are deemed to include all amendments to such rule contained in the HITECH Act and any accompanying regulations, and any other subsequently adopted amendments or regulations).

In consideration of the mutual promises below and the exchange of information pursuant to this Addendum, the parties agree as follows:

II. DEFINITIONS

Terms used but not otherwise defined in this Agreement shall have the same meaning as those terms in 45 CFR Parts 160 and 164 of the HITECH Act.

- a. **Business Associate** herein is Contractor and shall have the meaning given to such term under the Privacy, Security and HITECH Rules, including, but not limited to, 45 CFR §160.103.

b. **Breach** shall have the meaning given to such term under the HITECH Act:

Breach means the unauthorized acquisition, access, use, or disclosure of protected health information which compromises the security or privacy of such information, except where an unauthorized person to whom such information is disclosed would not reasonably have been able to retain such information.

EXCEPTIONS.- The term "breach" does not include-

(i) any unintentional acquisition, access, or use of protected health information by an employee or individual acting under the authority of a covered entity or business associate if-- (I) such acquisition, access, or use was made in good faith and within the course and scope of the employment or other professional relationship of such employee or individual, respectively, with the covered entity or business associate; and such information is not further acquired, accessed, used, or disclosed by any person; or

(ii) any inadvertent disclosure from an individual who is otherwise authorized to access protected health information at a facility operated by a covered entity or business associate to another similarly situated individual at same facility; and

(iii) any such information received as a result of such disclosure is not further acquired, accessed, used, or disclosed without authorization by any person.

c. **Covered Entity** hereinafter is Monroe County and shall have the meaning given to such term under the Privacy Rule, including, but not limited to 45 CFR § 160.103.

d. **Data Aggregation** shall have the meaning given to such term under the Privacy Rule, including, but not limited to, 45 CFR § 164.501.

e. **Designated Record Set** shall have the meaning given to such term under the Privacy Rule, including, but not limited to, 45 CFR §164.501.

f. **Disclosing Party** shall mean the party that is disclosing Protected Health Information to another party pursuant to this Addendum.

g. **Electronic Protected Health Information** means Protected Health Information which is transmitted by Electronic Media or maintained in Electronic Media (as defined in the HIPAA Security and Privacy Rule)..

h. **Health Care Operations** shall have the meaning given to such term under the Privacy Rule, including, but not limited to, 45 CFR § 164.501.

i. **Individual** shall have the same meaning as the term "Individual" in 45 CFR § 164.501 and shall include a person who qualifies as a personal representative in accordance with 45 CFR § 164.502(g).

j. **Privacy Rule** shall mean the HIPAA Regulation that is codified at 45 CFR Parts 160 and 164, subparts A and E.

k. **Protected Health Information** or "**PHI**" means any information, whether oral or recorded in any form or medium: (i) that relates to the past, present or future physical or mental condition of an Individual, the provision of health care to an Individual, or the past, present or future payment for the provision of health care to an Individual, and (ii) that identifies the Individual or with respect to which there is a reasonable basis to believe the information can be used to identify the Individual, and shall have the meaning given to such term under the Privacy Rule, including, but not limited to, 45 CFR 164.501.

l. **Receiving Party** shall mean the party that is receiving Protected Health Information from another party pursuant to this Addendum.

m. **Required by Law** shall have the same meaning as the term "required by law" in 45 CFR 164.501, and any additional requirements created under the HITECH Act..

n. **Security Rule** shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 CFR Part 160 et seq..

o. **Standard Transactions** shall mean a transaction that complies with the applicable standard set forth in 45 CFR Part 162.

p. **Unsecured Protected Health Information** shall have the meaning given to such term under the HITECH Act: Unsecured protected health information is protected health information that has not been rendered unusable, unreadable, or indecipherable to unauthorized individuals through the use of a technology or methodology (encryption or destruction).

III. OBLIGATIONS AND ACTIVITIES OF BUSINESS ASSOCIATE

a. Business Associate agrees to not use and/or disclose Protected Health Information other than as permitted or required by this Contract and by the HITECH Act or as required by law. Business Associate may use and/or disclose Covered Entities Protected Health Information only if such use or disclosure is in compliance with each applicable requirement of the HIPAA privacy rule's Business Associate Contract Standard, section 164.504(e).

b. Business Associate agrees to use appropriate safeguards to prevent use or disclosure of the Protected Health Information other than as provided for by this Addendum.

c. Business Associate agrees to mitigate, to the extent practicable, any harmful effect that is known to Business Associate of a use or disclosure of Protected Health Information by Business Associate in violation of the requirements of this Addendum.

d. Business Associate agrees to report to Covered Entity any use or disclosure of Protected Health Information not provided for by this Addendum of which it becomes aware within 30 days of discovery.

- e. Business Associate agrees to ensure that any agent, including a subcontractor, to whom it provides Protected Health Information received from, or created or received by Business Associate on behalf of Covered Entity and who agrees to the same restrictions and conditions that apply through this Addendum to Business Associate with respect to such information.
- f. If Business Associate has Protected Health Information in a Designated Record Set, Business Associate agrees to provide access, within 10 days of a request by Covered Entity, to Protected Health Information in a Designated Record Set, to Covered Entity or, as directed by Covered Entity, to an Individual in order to meet the requirements under 45 CFR 164.524.
- g. If Business Associate has Protected Health Information in a Designated Record Set, Business Associate agrees to make any amendment(s) to Protected Health Information in a Designated Record Set that the Covered Entity directs or agrees to pursuant to 45 CFR 164.526 within 10 days of a request by Covered Entity or an Individual.
- h. Business Associate agrees to make internal practices, books, and records, including policies and procedures and Protected Health Information, relating to the use and disclosure of Protected Health Information received from, or created or received by Business Associate on behalf of, Covered Entity available to the Secretary, within 10 days of request, for purposes of the Secretary determining Covered Entity's compliance with the Privacy Rule, Security Rule, or the HITECH Act.
- i. The Business Associate agrees to implement administrative, physical and technical safeguards that reasonably and appropriately protect the confidentiality, integrity and availability of the Electronic Protected Health Information that it creates, receives, maintains, or transmits on behalf of the Covered Entity as required by the Privacy Rule, Security Rule, and the HITECH Act.
- j. The Business Associate will ensure that any agent, including a subcontractor, to whom it provides such Electronic Protected Health Information agrees to implement reasonable and appropriate safeguards to protect it.
- k. The Business Associate will report to the Covered entity any security incident involving Protected Health Information of which it becomes aware.
- l. Effective 2/17/2010, Business Associate shall not directly or indirectly receive remuneration in exchange for an Individual's PHI unless Covered Entity obtained a valid Authorization from the Individual including a specification of whether the PHI can be further exchanged for remuneration by the receiving entity. Exceptions apply, as described in the privacy rule and the HITECH Act.
- m. Effective 2/17/2010, Business Associate shall not directly or indirectly receive payment in exchange for making certain communications to Individuals

(patients/residents) about a nonhealthcare related or third-party product or service that encourages the recipient to purchase or use the product or service unless (1) the communication describes only a drug or biologic that is currently being prescribed for the recipient of the communication; or (2) Covered Entity obtained a valid Authorization from the Individual. Exceptions apply, as described in the HITECH Act, and including when Business Associate makes such communications on behalf of Covered Entity, within the scope of the Business Associate Addendum, and receives payment for such work.

n. Business Associate agrees to use, disclose, and request (1) To the extent practicable, only the limited data set of Protected Health Information excluding direct identifiers, as defined in section 164.514 (e)(2) of the HIPAA Privacy Rule; and (2) The minimum necessary Protected Health information to accomplish the intended purpose of the use, disclosure, or request. BA agrees that, prior to a disclosure, the BA shall determine what constitutes minimum necessary PHI to accomplish the intended purpose. Exceptions described in section 164.502 (b)(2) apply.

o. Business Associate recognizes that, as of February 17, 2010, the administrative, physical, and technical standards and implementation specifications of the HIPAA Security Rule (45 CFR sections 164.308, 164, 310, 164.312, and 164.316) apply to Business Associate in the same manner that it applies to a Covered Entity.

p. Business Associate recognizes that, as of February 17, 2010, civil and criminal penalties for violation of the HIPAA security rule shall apply to the Business Associate in the same manner as they apply to a Covered Entity.

q. Business Associate shall, following the discovery of a privacy or security breach of unsecured PHI, notify Covered Entity of such breach without unreasonable delay, within a period of time sufficient to allow Covered Entity to comply with its obligations under the HITECH Act, and in no case later than thirty (30) days from the date of discovery. Such notice shall include the identification of each individual whose unsecured PHI has been, or is reasonably believed by the Business Associate to have been, accessed, acquired, or disclosed during such breach.

r. Business Associate agrees to document such disclosures of Protected Health Information and information related to such disclosures as would be required for Covered Entity to respond to a request by an Individual for an accounting of disclosures of Protected Health Information in accordance with the Privacy Rule and the HITECH Act.

s. Business Associate agrees to provide to Covered Entity or an Individual, within 10 days of request, such documentation and information collected in accordance with Covered Entity ability to respond to a request by an Individual for an accounting of disclosures of Protected Health Information in accordance with the Privacy Rule and the HITECH Act CFR 164.528.

t. Business Associate agrees to restrict disclosure of an Individual's Protected Health Information as would be required of or agreed to by Covered Entity at the request of an Individual, in the time and manner specified.

IV. PERMITTED USES AND DISCLOSURES BY BUSINESS ASSOCIATES

Except as otherwise limited in this Addendum, Business Associate may use or disclose Protected Health Information to perform functions, activities, or services for, or on behalf of, Covered Entity as specified in the individual contract, provided that such use or disclosure would not violate the Privacy or Security Rule or HITECH Act if done by Covered entity or the minimum necessary policies and procedures of the Covered Entity

V. OBLIGATIONS OF COVERED ENTITY

a. Covered Entity shall notify Business Associate of any limitation(s) in its notice of privacy practices of Covered Entity in accordance with 45 CFR 164.520, to the extent that such limitation may affect Business Associate's use or disclosure of Protected Health Information.

b. Covered Entity shall notify Business Associate of any changes in, or revocation of, permission by Individual to use or disclose Protected Health Information, to the extent that such changes may affect Business Associate's use or disclosure of Protected Health Information.

c. Covered Entity shall notify Business Associate of any restriction to the use or disclosure of Protected Health Information that Covered Entity has agreed to in accordance with 45 CFR 164.522 and the HITECH Act to the extent that such restriction may affect Business Associate's use or disclosure of Protected Health Information.

d. Covered Entity shall not request Business Associate to use or disclose Protected Health Information in any manner that would not be permissible under the Privacy or Security Rule or HITECH Act if done by Covered Entity.

VI. PERMISSIBLE REQUESTS BY COVERED ENTITY

a. Covered Entity shall not request Business Associate to use or disclose Protected Health Information in any manner that would not be permissible under the Privacy or Security Rule or HITECH Act if done by Covered Entity, except to the extent that Business Associate uses or discloses Protected Health Information for, and the Agreement provides for data aggregation or management and administrative activities of Business Associate.

VII. TERM AND TERMINATION

a. **Term.** The Term of this Addendum shall be effective as of April 14, 2003, and shall terminate when all of the Protected Health Information provided

by Covered Entity to Business Associate, or created or received by Business Associate on behalf of Covered Entity, is destroyed or returned to Covered Entity, or, if it is infeasible to return or destroy Protected Health Information, protections are extended to such information, in accordance with the termination provisions in this Section.

b. **Termination for Cause.** Upon Covered Entity's knowledge of a material breach by Business Associate, Covered Entity shall either:

(1) Provide an opportunity for Business Associate to cure the breach or end the violation and terminate the Agreement if Business Associate does not cure the breach or end the violation within the time specified by Covered Entity; or

(2) Immediately terminate the Agreement if Business Associate has breached a material term of this Addendum and cure is not possible; or

(3) If neither termination nor cure are feasible, Covered Entity shall report the violation to the Secretary.

(4) Effective February 17, 2010, Business Associate shall have the same duty to cure, terminate, or report violations to the Secretary as the Covered Entity.

c. **Effect of Termination.**

(1) Except as provided in paragraph (2) below of this subsection c., upon termination of the Agreement for any reason, Business Associate shall return or destroy all Protected Health Information received from Covered Entity, or created or received by Business Associate on behalf of Covered Entity. This provision shall apply to Protected Health Information that is in the possession of subcontractors or agents of Business Associate. Business Associate shall retain no copies of the Protected Health Information.

(2) In the event that Business Associate determines that returning or destroying the Protected Health Information is infeasible, Business Associate shall provide to Covered Entity notification of the conditions that make return or destruction infeasible. Upon Business Associate's determination that return or destruction of Protected Health Information is infeasible, Business Associates shall extend the protections of this Addendum to such Protected Health Information and limit further uses and disclosures of such Protected Health Information to those purposes that make the return to destruction infeasible, for so long as Business Associate maintains such Protected Health Information.

(3) **Survival.** The respective rights and obligation of Business Associate under this Section "Effect of Termination" shall survive the termination of the Agreement.

VIII. MISCELLANEOUS

- (a) **Regulatory References.** A reference in this Addendum to a section in the Privacy and Security Rules, or HITECH Act means the section as in effect or as amended.
- (b) **Amendment.** The parties specifically agree to take such action as is necessary for each party to implement and comply with the standards and requirements of HIPAA, the Privacy Rule, the Security Rule, the Electronic Transactions and Code Sets Rule, and other applicable laws relating to the security or confidentiality of Protected Health Information. The parties understand and agree that under HIPAA, Covered Entity must receive satisfactory written assurance from Business Associate that Business Associate will adequately safeguard all Protected Health Information. Upon request of either party, the other party agrees to promptly enter into negotiations concerning the terms of an amendment to this Addendum embodying written assurances consistent with the standards and requirements of HIPAA, the Privacy Rule, the Security Rule, the Electronic Transactions and Code Sets Rule, or other applicable laws. Either party may terminate the Agreement upon thirty (30) days written notice in the event (i) the other party does not promptly enter into negotiations to amend this Addendum when requested by such party pursuant to this Section or (ii) the other party does not promptly enter into negotiations to amend this Addendum providing assurances regarding the safeguarding of Protected Health Information that such party deems sufficient to satisfy the standards and requirements of HIPAA, the Privacy Rule, the Security Rule, and the Electronic Transactions and Code Sets Rule, and the HITECH Act of 2009.
- (c) **Interpretation.** Any ambiguity in this Addendum shall be resolved to permit Covered Entity to comply with the Privacy and Security Rules and the HITECH Act.
- (d) **Survival.** The respective rights and obligations of Business Associate under the Effect of Termination Section of this Addendum shall survive the termination of this contract.