RFP P351-16

DUE DATE July 18, 2016, 2:00 PM MST

TITLE: EMPLOYEE BENEFITS CONSULTING SERVICES And EMPLOYEE RETIRMENT BENEFITS CONSULTING SERVICES (herein “RFP”)

Offer Due Date/Time: ALL OFFEROR PROPOSALS MUST BE RECEIVED FOR REVIEW AND EVALUATION BY THE PROCUREMENT SPECIALIST OR DESIGNEE NO LATER THAN THE DUE DATE SET FORTH ABOVE.

The University of New Mexico Hospital and UNM Sandoval Regional Medical Center (UNMH AND UNM SRMC or Owner) invites you (“Offeror”) to submit an offer for services and/or material(s) as set forth in this RFP. Please read this RFP carefully because the failure to comply therewith may result in UNMH AND UNM SRMC determining that your proposal is unresponsive and disqualified. New Mexico civil and criminal law prohibits bribes, gratuities and kickbacks. (13-1-191 NMSA 1978)

UNMH AND UNM SRMC Procurement Specialist Contact Information: The person designated below is responsible for the implementation of this procurement:

Name: Tarah Santana
Title: Procurement Specialist
Telephone: (505) 272-9861
E-mail: tasantana@salud.unm.edu

Proposal Submission Format. Only hard copies will be accepted and must be submitted manually via hand delivery, carrier or first class mail and must submit:

One (1) Original, marked on the cover as “Original,”
Six (6) copies, marked on the cover of each as “Copy,” and
One (1) CD/DVD disc, Thumb Drive

Hard copies must be printed in ink and corrections must be initialed. Any Offeror’s submitted sealed Proposal envelope, box or package must be clearly marked with the RFP Number and Opening Date (see Offer Due By date above) in the lower left hand corner. Failure to mark your sealed offer may result in your offer being opened early or your offer not being included in the Request for Proposal opening.

Proposals must be delivered via carrier, hand delivered or first class mail to the address first set forth above.
Table of Contents:

Section I.    Introduction
Section II.   Conditions Governing the Procurement
Section III.  Organization of Proposal
Section IV.   Scope of Work
Section V.    Evaluation Criteria
Section VI.   Additional Instructions to Offerors
Section VII.  Standard Terms and Conditions
Exhibit A:    Resident Veterans Certificate
Exhibit B:    Authorized Signature Page (MUST BE SIGNED AND RETURNED)
Exhibit C:    Small & Small Disadvantaged Business Certification
Exhibit D:    Conflict of Interest Certificate Form (SIGNED AND RETURN)
Exhibit E:    Insurance Requirements
Exhibit G:    Information Systems Security Plan
Exhibit H:    Certification and Disclosure regarding Payments to Influence certain
              Federal Transactions (April 19910)
Exhibit I:    Business Associate Addendum
Appendix A    Cost Response form

(Blank to next page)
SECTION I. INTRODUCTION

1.1. Purpose of this RFP
The purpose of this RFP is to solicit sealed proposals to establish contract(s) through competitive negotiations for the procurement of General Welfare and Retirement benefits consulting services to assist The University of New Mexico Hospital and UNM Sandoval Regional Medical Center (UNMH AND UNM SRMC) in evaluating comparative levels of vendor service, strategic planning, designing, pricing and implementing the best coverage and costs for its employee benefits programs.

1.2. Background
The University of New Mexico is New Mexico’s only academic medical center and the State’s only Level One Trauma Center, treating over 80,000 emergency patients and seeing more than 500,000 outpatient visits annually. UNMH is also the largest clinical component of the University of New Mexico Health Sciences Center (UNMH). There are five hospitals included within the UNM Hospital System: UNM Hospital (UNMH), UNM Children’s Hospital, Carrie Tingley Children’s Hospital (CTH), Children’s Psychiatric Center (CPC), and UNM Psychiatric Center (UNMPC). UNM Hospitals (UNMH, CTH, CPC, UNMPC) are located as part of the Main UNMH campus.

UNMH currently has 629 beds and is recognized for clinical excellence in many specialties including Trauma and Emergency Medicine, Pediatrics, Orthopedics, Cancer Research and Treatment, Transplantation and many others. The Hospital and its components provide primary, secondary, tertiary and quaternary care and receive referrals from counties throughout New Mexico and the entire Southwest. Inpatient discharges are approximately 27,650 per year. UNMH has 36 hospital-based clinics located at the main facility as well as various off-site locations. There are approximately 553,000 outpatient visits/encounters per year. UNMH has six retail pharmacy locations located within off-site clinic. UNMH SRMC qualifies for 340B drug pricing. UNMH Statistics for the year ending June 30, 2015:

<table>
<thead>
<tr>
<th>Category</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Emergency Room Visits</td>
<td>80,020</td>
</tr>
<tr>
<td>Outpatient Visits</td>
<td>552,841</td>
</tr>
<tr>
<td>Inpatient Days</td>
<td>179,739</td>
</tr>
<tr>
<td>Outpatient Operations</td>
<td>11,090</td>
</tr>
<tr>
<td>Inpatient Operations</td>
<td>8,370</td>
</tr>
<tr>
<td>Births</td>
<td>2,979</td>
</tr>
</tbody>
</table>

The University of New Mexico Cancer Center (UNMCC) is the official Cancer Center of the State of New Mexico, and is designated as a National Cancer Institute Comprehensive Cancer Center. They are home to New Mexico’s largest and most experienced team of cancer specialists, including 130 board-certified oncology physicians and 130 research scientists. In 2015, they provided over 95,000 infusions, radiation therapies and ambulatory clinic visits to New Mexico’s cancer patients.

The UNM Sandoval Regional Medical Center (SRMC) is located in the Rio Rancho City Center and opened in July 2012. SRMC has 68 inpatient beds comprised of two 24 bed medical/surgical units, 12 intensive care beds and 8 behavioral health beds. The facility also has 13 emergency medicine beds, two of which are equipped for behavioral health crisis
intervention. The facility is served by hospital based, UNM Faculty Physicians and community providers in the areas of Radiology, Pathology, Emergency Medicine, Anesthesiology, Psychiatry and Hospitalists. For the year ended June 30, 2015, SRMC had the following statistics:

a. Emergency Room Visits - 15,808  
b. Outpatient Visits - 31,849  
c. Inpatient Days - 15,348  
d. Inpatient Discharges - 3,178  
e. Outpatient Operations - 2,548  
f. Inpatient Operations - 1,165

The UNM Medical Group (UNMMG) is the organization responsible for providers practicing medicine at the University of New Mexico Health Science Center (). There are approximately 950 attending/faculty (MD/DO) and approximately 650 residents and fellows practicing at UNMH. In additional there are approximately 400 Midlevel providers practicing at UNM HSC. UNMMG has 14 provider-based clinics. Clinic Visits for the year ending June 30, 2015 were 40,000.

UNMH employs 5,966 employees located predominantly in Albuquerque, New Mexico. Of those, 5,249 are considered “benefits eligible.” All Regular or Long Term Temporary Status employees in a budgeted position of .50 to 1.0 FTE (full-time equivalent) statuses, and their eligible dependents, are benefits eligible. This includes current employees in an Active or Leave status.

1.5 Scope of Procurement
The initial contract shall begin on the date of fully executed contract. The term of the resultant Contractual Agreement(s) arising from this proposal may be for an initial term of four (4) year, as provided for in NMSA 13-1-150 (Multi-Term Contract). The term of the contract shall not exceed four (4) years in duration.

UNMH AND UNM SRMC anticipate that successful Offerors will provide flat rates. The proposed prices for services must remain fixed for four years and may only be adjusted by mutual agreement, with a capped increase not to exceed 2.5% - 5.0%. The contract may be amended by mutual agreement of the parties upon written notice by either party to the other. Continuation of the contract(s) is contingent upon satisfactory contract compliance by the Contractor, as determined by UNMH AND UNM SRMC. The Agency, must approve all renewals/amendments and adjustments.

SECTION II. CONDITIONS GOVERNING THE PROCUREMENT

2.1. Forms and Exhibits. The RFP Submission Forms and Exhibits and the other documents requiring execution by the Offeror, shall be completed and signed by a duly authorized signing representative of the Offeror. Proposals should be completed without delineations, alterations, or erasures. Should there be any discrepancy between the original and any of the copies, the original shall prevail.
2.2. **Requirements.** For the purposes of the requirements stated in this RFP

2.2.1. “must” and “shall” indicate that the requirement is mandatory, subject to provisions of this RFP; and

2.2.2. “should”, “could” and “may” indicate that the requirement is discretionary.

2.3. **Notice.** The Offerors are put on notice that from the date of issue of the RFP through any award notification of the Agreement:

2.3.1. Only the Bid Administrator is authorized by the UNMH AND UNM SRMC to amend or waive the requirements of the RFP pursuant to the terms of this RFP;

2.3.2. Offerors should not contact any of the staff at UNMH AND UNM SRMC, (except for the Bid Administrator) in regards to this RFP, unless instructed to in writing by the Bid Administrator;

2.3.3. Under no circumstances shall the Offeror rely upon any information or instructions from the Bid Administrator, UNMH AND UNM SRMC employees or their agents unless the information or instructions is provided in writing by the Bid Administrator in the form of an addendum; and

2.3.4. UNMH AND UNM SRMC, their employees, nor their agents shall be responsible for any information or instructions provided to the Offeror, with the exception of information or instructions provided in an addendum by the Bid Administrator.

2.4. **Information**

2.4.1. **Offeror to Review.** The Offeror must carefully review this RFP and ensure that the Offeror has no reason to believe that there are any uncertainties, inconsistencies, errors, omissions, or ambiguities in any part of this RFP. Each Offeror is responsible for conducting its own investigations and due diligence necessary for the preparation of its Proposal.

2.4.2. **Offeror to Notify.** If the Offeror discovers any uncertainty, inconsistency, error, omission or ambiguity in this RFP, the Offeror must notify the Bid Administrator in writing prior to submitting the Offeror’s Proposal.

2.4.3. **Offerors shall not:**

2.4.3.1. Claim after submission of a Proposal that there was any misunderstanding or that any of the conditions set out Offeror to Review were present with respect to this RFP; or

2.4.3.2. Hold any staff of UNMH AND UNM SRMC liable for any uncertainty, inconsistency, error, omission, or ambiguity in any part of this RFP.

2.4.4 Price proposals and/or negotiated price must be valid proposals through the award of the RFP.

2.5. **Clarification and Questions**

2.5.1. **Submission.** Offerors may request clarification of this RFP by:
2.5.1.1. Submitting all requests for clarification by email to the Bid Administrator at tasantana@salud.unm.edu or as otherwise directed by the Bid Administrator;

2.5.1.2. Including the Offeror’s address, telephone number, facsimile number and email address;

2.5.1.3. If the question pertains to a specific section of this RFP, reference should be made to the specific section number and page; and

2.5.1.4. Submitting all requests for clarification no later than 2:00 PM MST, July 8, 2015.

2.5.2. Questions and Answers. UNMH AND UNM SRMC will provide Offerors with written responses in the form of addenda to questions that are submitted. All addenda shall form part of this RFP. Questions and answers will be distributed in numbered addenda. In answering the Offeror’s questions, the Bid Administrator will include in all addenda the questions asked but will not attribute the questions to any Offeror. Notwithstanding the foregoing, the Bid Administrator may in its sole discretion answer similar questions from various Offerors only once, edit the questions for clarity, and elect not to respond to questions that are either inappropriate or not comprehensible.

2.6. Issued Addenda. Each Offeror shall be responsible for verifying before submitting its Proposal that it has received all addenda that have been issued. All addenda will be posted on the UNMH AND UNM SRMC bidding website visit http://hospitals.unm.edu/about/proposals.shtml. Instructions, clarifications or amendments which affect this RFP may only be made by addendum.

2.7. Amendments to the RFP. UNMH AND UNM SRMC shall have the right to amend or supplement this RFP in writing prior to the Closing Time. No other statement, whether written, oral or inferred, will amend this RFP. The Offerors are responsible to ensure they received all addenda, if any. The addenda shall be binding on each Offeror.

2.8. Clarification of Offeror’s Proposal

2.8.1. UNMH AND UNM SRMC shall have the right at any time after Proposal submission, to seek clarification from any Offeror in respect of such Offeror’s Proposal, without contacting other Offerors. UNMH AND UNM SRMC is not obliged to seek clarification of any aspect of a Proposal.

2.8.2. Any clarifications sought shall not be an opportunity to either correct errors or to change the Offeror’s Proposal in any substantive manner. In the clarification process, no change in the substance of the Proposal shall be offered or permitted. Subject to the qualification in this Section, any written information received by UNMH AND UNM SRMC from an Offeror in response to a request for clarification from UNMH AND UNM SRMC shall be considered part of the Offeror’s Proposal.

2.9. Verification of Information. UNMH AND UNM SRMC shall have the right to:
2.9.1. Verify any Offeror statement or claim by whatever means UNMH AND UNM SRMC deems appropriate, including contacting persons in addition to those offered as references, and to reject any Offeror statement or claim, if the statement or claim or its Proposal is patently unwarranted or is questionable; or

2.9.2. Access the Offeror’s premises where any part of the work is to be carried out to confirm Proposal information, quality of processes, and to obtain assurances of viability; and

2.9.3. The Offeror shall cooperate in the verification of information and is deemed to consent to UNMH AND UNM SRMC verifying such information.

2.9.4. Proposals received after this deadline may not be accepted. The date and time of receipt will be recorded on each proposal

2.9.5. OTHER INFORMATION:
Freight Terms: FOB Destination
Payment Terms: NET 30

2.9.6 CANCELLATION: UNMH AND UNM SRMC reserves the right to cancel without penalty, this RFP, the resultant contract/purchase order, or any portion thereof for convenience, unsatisfactory performance, or unavailability of funds.

SECTION III. ORGANIZATION OF PROPOSAL

Proposals should be organized in a format that promotes the easy and clear evaluation of your offer.

3.1. Offerors are to organize Proposals in the order as stated in this section. To this end, the organization of your proposal is to follow the RFP’s organization so that the RFP and your proposal can be cross-referenced during the evaluation process. Likewise, information in your proposal should be presented in the same order as the pertinent provisions of the RFP, referencing section of the Request on any and all attachment that you included with your proposal.

3.2. Submittals should completely address each of the following evaluation criteria in the order presented, elaborating on all responses where possible, and should not exceed 60 single sided, 8 ½ x 11 inch paper (excluding exhibits, samples, or other attachments in a font not smaller than 10). Number each page 1 of ___ total pages and include your firms’ name.
SECTION IV. SCOPE OF WORK
Based on the category of benefits consulting services the Offeror proposes, the Offeror must be capable of providing services, which may include, but are not be limited to, the services indicated below.

4.1. General Fringe.

Benefits eligible employees may participate in employer funded or sponsored benefit programs after program specific waiting periods or enrollment requirements are met. Those programs include employer funded contributions into the 403(b) retirement plan, employee funded 457(b) retirement plan, basic life insurance, AD&D insurance, voluntary supplemental life insurance (employee, spouse or domestic partner, and children), LTD insurance, a self-funded health plan, a self-funded dental plan, vision insurance, medical and dependent day care flexible spending accounts, legal and identity theft plan, and supplemental cancer/ICU/heart coverage.

All employees are provided with EAP services and recreation/shopping/services discount programs.

Health plan benefits are currently offered through a self-funded plan with ISL administered by Blue Cross and Blue Shield of New Mexico. Benefits have been provided under the self-funded arrangement since August 1, 2005. Claims administration, network, stop loss, PBM and related bundled services have also been provided by Blue Cross and Blue Shield of New Mexico since August 1, 2005.

UNM Hospitals is not subject to ERISA. UNMH currently utilizes Gallagher Benefit Services, Inc. for its general fringe employee benefits consulting services, and Mercer for its employee retirement consulting services General Fringe benefits consulting services in areas of employee group benefits include:

4.1.1. Identify benefit and cost goals, evaluate current plans, review cost containment opportunities through plan design, vendor, or provider network changes, and cost implications when specific benefits are added, deleted, or modified. Plans include, but are not limited to:

4.1.1.1. Health
4.1.1.2. Dental
4.1.1.3. Vision
4.1.1.4. Life, Voluntary Supplemental Life Insurance, and Accidental Death and Dismemberment Insurance
4.1.1.5. Long Term Disability Insurance
4.1.1.6. Medical and Dependent Day Care Flexible Spending Accounts
4.1.1.7. Voluntary coverages such as supplemental cancer/ICU/heart coverage, legal and identity theft coverage.
4.1.1.8. Employee Assistance Plan
4.1.1.9. COBRA and HIPAA Administration
4.1.2. Complete an analysis of the health plan funding contracts, analyze the performance of UNMH AND UNM SRMC health plan, analyze and project claims and funding effectiveness levels, and evaluate the financial impact and plan design, and advise on the feasibility of alternative funding methods (e.g. self-funding, minimum premium, etc.).

4.1.3. Provide annual Incurred But Not Reported (IBNR) report.

4.1.4. Provide annual GASB 45 report.

4.1.5. Provide contribution strategy alternatives.

4.1.6. Analyze and evaluate renewal underwriting from vendors, prepare cost projects for the coming year, negotiate with current carriers to obtain fair renewal rates that are supported by claims data and are financially sound, evaluate cost management and provider access of current provider networks to ensure they are meeting cost and quality objectives, evaluate effectiveness and responsiveness of plans, vendors.

4.1.7. Assist in developing Request for Proposals for group plans and benefit programs in accordance with the laws of the State of New Mexico and assist in analyzing responses received.

4.1.8. Review and analyze contractual agreements with insurance/benefit plans companies ensuring rates and amendments are in compliance with federal and state laws, reflect agreed upon plan design, and are accurate.

4.1.9. Provide guidance in the interpretation of government regulations at federal and state level; and advise of proposed and current legislation that may impact employee benefit programs.

4.1.10. Provide advice on complex problems and services in benefits administration and assist in their resolution as requested.

4.2. Retirement.

UNMH currently utilizes Fidelity Investments for its defined contribution plans and Wells Fargo for its small frozen defined benefit plan (named Plan B). Employer contributions of 5.5% (staff positions) or 7.5% (designated management positions) of regular pay are made into the 403(b) plan every bi-weekly payroll for each benefits-eligible employee who has completed one year of continuous benefits eligible service.

The 403(b) vesting schedule is twenty-five percent (25%) at three (3) years continuous benefits eligible service, 55% at four (4) years continuous benefits eligible service, and one hundred percent (100%) at five (5) years or more continuous benefits eligible service. Non-continuous benefits eligible service, including prior periods of employment, is credited towards the vesting schedule as long as the benefits eligible service gap is less than one year. Once fully vested, employees can choose any employer-sponsored fund option; until then, employer 403(b) contributions go into the MetLife Stable Value Option fund.

All employees are eligible from date of hire to make voluntary payroll contributions into the 403(b) and/or the 457(b) retirement plans up to annual IRS limits, including catch-up contributions. Approximately sixty percent (60%) of all employees make voluntary contributions. Plan assets in the 403(b) total approximately... Plan assets in the 457(b) total...
$23 million. Retirement benefits consulting services in areas of employee retirement benefits include:

4.2.1. Provide advice regarding UNM Hospitals retirement plans to include evaluation and recommendation of appropriate investment vehicles and plan document creations and revisions.

4.2.1.1. 403(b) Tax Sheltered Annuities
4.2.1.2. 457(b) Deferred Compensation Plans
4.2.1.3. 401(a) Plans
4.2.1.4. Executive Retirement Plans
4.2.1.5. Defined Benefit Plan

4.2.2. Provide guidance in the interpretation of government regulations at the federal and state level; and advise of proposed and current legislation that may impact employee retirement programs.

4.2.3. Provide templates and suggested language for plan document creations and revisions and retirement policies, including investment policy.

4.2.4. Review and analyze contractual agreements with retirement plans companies ensuring rates and amendments are in compliance with federal and state laws, reflect agreed upon plan design, and are appropriate and accurate.

4.2.5. Provide advice on complex problems and services in retirement benefits administration and related areas and assist in their resolution as requested.

4.2.6. Perform annual actuarial valuation on a small frozen defined benefit plan known as Plan B. Perform individual benefit calculations.

4.2.7. Provide renewal Request for Proposal guidance and support in order for UNMH AND UNM SRMC to select plan-related providers and vendors.

4.3 Use of the consultant(s) will be determined by needs and funds available. UNM Hospitals Human Resources will be in charge of and oversee all projects assigned to the consultant(s) and will be the liaison, except as specifically directed, with all successful Offeror(s) of existing or proposed benefit plans. Estimated time and cost for each project will be discussed and agreed upon when an assignment is made.

SECTION V. EVALUATION CRITERIA

This section describes the criteria to be used for analyzing and evaluating the various proposals. Cost will be a factor in the proposal evaluation with negotiable expectations; however, it is specifically a consideration of secondary importance to the need for competent and high-quality skilled Offeror(s).

UNMH AND UNM SRMC reserves the right to make an award based directly on the proposals or to negotiate with one or more Offerors or reject all proposals. UNMH AND UNM SRMC reserves the right to make multiple awards under this RFP, or to otherwise split the award of the items, projects and/or sections of this RFP to one or more vendors. UNMH and UNM SRMC may conduct a separate evaluation, and may award to different vendors. The Offeror selected for the award will be chosen on the basis of the greatest benefit to UNMH AND UNM SRMC, not on the basis of lowest price. All responses to this Request for Proposals become the property of UNMH AND UNM SRMC and will become public information upon completion of UNMH AND UNM SRMC contract negotiation process.
An evaluation committee shall evaluate proposals based on the weighted criteria listed below. Submittals should completely address each of the following evaluation criteria in the order presented, elaborating on all responses where possible. UNMH AND UNM SRMC reserves the right to judge the presentation of the Offerors submitting proposals in the evaluation and selection of the successful proposal. **Finalist may be invited for oral presentations and demonstrations at UNMH AND UNM SRMC’s sole discretion at a date and time to be determined.**

Offerors may propose general fringe employee benefits consulting services only, employee retirement consulting services only, or both. Indicate which services you are proposing.

### 5.1 Experience, quality, stability, and reputation of the Offeror. (20 Points Possible)

**5.1.1** Provide a brief narrative of the Offeror’s proven experience, competence, capabilities and resources, at both organizational and individuals levels in providing a full range of employee general fringe benefits consulting services and/or retirement consulting services.

**5.1.2** Provide three active client references from organizations who the Offeror previously provided the services described in this RFP that you have entered into an agreement within the last three (3) years who can verify the quality of service your company provides. Indicate if the agreement(s) are still active and if not, why not? Company name, address, contact person and title, phone, contract period and scope of work must be included. **One (1) of the three (3) references shall be similar in size to UNMH AND UNM SRMC and scope of work as called for in this RFP. Please indicate any references smaller in size.**

**5.1.3** What is your company’s required certifications? What current certifications does your company have?

**5.1.4** The Offeror should provide financial information sufficient for UNMH AND UNM SRMC to adequately establish the Offeror’s financial capability to provide and support the scope of work in its Proposal. Offeror must submit copies of the most recent independently audited financial statements. The submission must include the audit opinion, the balance sheet, and statements of income, retained earnings, cash flows, and the notes to the financial statements. If independently audited financial statements do not exist, Offeror must state the reason and, instead, submit sufficient information (e.g. D & B report) to enable the Evaluation Committee to assess the financial stability of the Offeror.

**5.1.5** Experience, quality (including performance guarantees), and reputation of the Offeror and of the Offeror’s services, to include the breadth and depth of experience and stability of the Offeror’s consultant workforce.

### 5.2 Accessibility, Responsiveness and Eligibility (10 points available)

**5.2.1** Confirm that you are not a current or future Offeror of any insured or group employee benefit plan or program that might be considered by UNMH AND UNM SRMC.
5.2.2 Confirm that you agree that the successful Offeror will not be a consultant or a provider of a third party administration services if UNMH AND UNM SRMC request proposals for such services during the term of the contract or within one year after termination of the consulting contract.

5.2.3 Confirm that you agree not to service as a broker or receive any commissions or any other form of compensation from providers of insurance or benefit plans to UNMH AND UNM SRMC Hospitals without prior approval of UNMH AND UNM SRMC Hospitals.

5.2.4 Provide brief narrative describing how Offeror will provide a secure methodology for data and confidential information transmission to and from UNMH AND UNM SRMC.

5.2.5 Accessibility and responsiveness of the Offeror’s services to UNM Hospitals (hours, location, project turnaround times, etc.) and the ability of Offerors to evaluate and recommend appropriate actions, services and providers to meet UNM Hospital’s needs.

5.3 Staff Performance (10 Points)

5.3.1 Offeror to include a brief narrative of the breadth and depth of experience and stability of the servicing staff that will be assigned to UNMH AND UNM SRMC.

5.4 Price Proposal (30 Points Possible)

5.4.1 Cost of the Offeror’s services (including travel costs), as well as the total long term cost to UNMH AND UNM SRMC to utilize the Offeror’s services must be completed on Cost Response Form in Appendix A.

5.5 Expertise and Knowledge (30 Points Possible)

5.5.1 Areas of expertise and knowledge of best practices for large hospital setting and their appropriateness in meeting UNM Hospital’s needs, including

5.5.1.1 If responding for general Benefits consulting: Expertise and knowledge in Self-funded health and dental plans

5.5.1.2 If responding for Retirement consulting: Expertise and knowledge in Retirement plans, both defined contribution, i.e., 403(b), 457(b), and 401(a), and defined benefit plans

**Evaluation Criteria Summary:** The following is a summary of the evaluation factors and the weighted value assigned to each.

<table>
<thead>
<tr>
<th>Evaluation Criteria</th>
<th>Points Possible</th>
</tr>
</thead>
<tbody>
<tr>
<td>Experience, quality, stability, and reputation of the Offeror.</td>
<td>20</td>
</tr>
<tr>
<td>Accessibility, Responsiveness and Eligibility</td>
<td>10</td>
</tr>
<tr>
<td>Staff Performance</td>
<td>10</td>
</tr>
<tr>
<td>Price Proposal</td>
<td>30</td>
</tr>
<tr>
<td>Expertise and Knowledge</td>
<td>30</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>
SECTION VI. ADDITIONAL INSTRUCTIONS TO OFFERORS

6.1. VETERANS PREFERENCE. In accordance with sections 13-1-21 and 13-1-22 NMSA 1978 resident veterans businesses are to receive the following preferences:

   6.1.1. Resident veterans businesses with annual revenues of $1M or less are to receive a 10% preference discount on their bids and proposals.
   6.1.2. Resident veterans businesses with annual revenues of more than $1M but less than $5M are to receive an 8% preference discount on their bids and proposals.
   6.1.3. Resident veterans businesses with annual revenues of more than $5M are to receive a 7% preference discount on their bids and proposals.
   6.1.4. This preference is separate from the current in-state preference and is not cumulative with that preference. However, veteran businesses will still receive the in-state preference once the veteran’s preference cap is exceeded.
   6.1.5. Points will be awarded based on Offerors ability to provide a copy of a current Resident Veterans Certificate (Exhibit A)
   6.1.6. In addition, the Resident Veterans Preference Certification Form must accompany any RFP and any business wishing to receive a resident veteran’s preference must complete and sign the form.
   6.1.7. RFP’s are to be evaluated on preference as follows:

       6.1.7.1. In addition to the total points on an RFP, 10% must be added for preference award. For example, an RFP has a total value of 1000 points. Five proposals are received; one from a resident business, one from a resident veterans business with an 8% preference and three non-resident businesses. The two preference businesses would receive 50 points and 80 points to their already evaluated score, making it possible for the highest score total of 1080.

   6.1.8. The attached “Resident Veteran Preference Certification” form (Exhibit A) must filled out, signed and included the offeror’s RFP from any business wishing to receive a resident veteran’s preference.

6.2. AUTHORIZED SIGNATURE PAGE: Review and submit the Authorized Signature Page attached hereto as Exhibit B.

6.3. SMALL AND DISADVANTAGED BUSINESS CERTIFICATION FORM: Review and submit the Small and Small Disadvantaged Business Certification Form attached hereto as Exhibit C.

6.4. CONFLICT OF INTEREST CERTIFICATION FORM: Review and submit Conflict of Interest Certification Form attached hereto as Exhibit D.

6.5. INSURANCE REQUIREMENTS: The Offeror is required to carry insurance, meeting the requirements in the Section labeled “Insurance Requirements” or as noted in the specifications (Exhibit E). Offeror must submit proof of insurance in the form of a “Certificate of Insurance” with their response and prior to commencing work under the resulting contract. Offeror’s insurance shall remain in effect for the entire term of the
contract and must be extended to coincide with any future contract extensions. This Request for Proposal Number must appear on the Certificate of Insurance.

6.6. SAMPLE AGREEMENT: The successful respondent will be required to enter into the Regents of the University of New Mexico, for its public operation known as University of New Mexico Hospitals agreement hereto attached as Exhibit F.

6.7. INFORMATION SECURITY PLAN. Offeror(s) shall not install any systems software and hardware, applications, databases, information or etc. on UNMH AND UNM SRMC’s computing devices-assets including export/import files, custom files or etc. without prior approval from UNMH AND UNM SRMC’s IT division. The successful Awardee may be required to complete the UNMH AND UNM SRMC’s Information Security Plan Information hereto attached as Exhibit G and submit to UNMH AND UNM SRMC’s IT department for approval. Failure to complete form upon UNMH AND UNM SRMC’s request or failing to receive IT approval may result in Offeror(s) being considered as non-responsive and/or termination of agreement.

6.8. TAXES. The University is exempt from Federal Excise Taxes and from New Mexico Gross Receipts Taxes on materials. Services are not exempt. Taxes on services should be included as a separate line item and not included in the base price offer. Applicable taxes are excluded from the RFP evaluation. A non-taxable transaction certificate is available upon request by contractor.

6.9. CERTIFICATION AND DISCLOSURE REGARDING PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS. Review and submit the Certification And Disclosure Regarding Payments To Influence Certain Federal Transactions (April 1991) form attached hereto as Exhibit H.

6.10. RESIDENT BUSINESS, RESIDENT CONTRACTOR AND RESIDENT VETERAN PREFERENCE CERTIFICATION. To receive a resident business preference pursuant to Section 13-1-21 NMSA 1978 or a resident contractor preference pursuant to 13-4-2 NMSA 1978, a business or contractor is required to submit with its bid or proposal a copy of a valid resident contractor certificate issued by the New Mexico Taxation and Revenue Department.

6.11. PERIOD OF CONTRACT. The term of the resultant Price Agreement(s) arising from this proposal may be for an initial term of three (3) years with the option to renew as provided for in NMSA 13-1-150 (Multi-Term Contract). XXXXXXXXXXXXXXXXXXXXXXX

6.12. QUANTITIES. UNMH AND UNM SRMC may purchase all, some or none of the elements described in this proposal or Offerors responses. In addition, actual quantities may fluctuate up or down based on UNMH AND UNM SRMC needs. The successful bidder will be required to fill all orders placed regardless of quantities ordered.

6.13. Business Associate Agreement. Will be required to enter into a Business Associate Agreement with UNMH as the covered entity. attached as Exhibit I.
6.14. AGENTS/SUBCONTRACTORS. The Offeror shall indicate whether the Offeror intends to use agents or subcontractors to perform the services outlined in the Agreement and shall provide details on who they are and the service(s) the agent/subcontractor shall perform. The successful Offeror shall remain primarily responsible for the performance of the Agreement notwithstanding its use of agents or subcontractors as approved by the Hospital. If the Offeror is not using agents or subcontractors on this RFP, the Offeror should respond by stating not applicable.

SECTION VII. STANDARD TERMS AND CONDITIONS. The following General Terms and Conditions are an equal and integral part of this Request For Proposal (RFP). The terms, conditions and specifications contained in this RFP along with any attachments and the Offerors’ response may be incorporated into any Purchase Order/Agreement issued as a result of this RFP, including any addenda. UNMH AND UNM SRMC reserves the right to negotiate with a successful Offeror (Contractor) provisions in addition to those stipulated in this RFP. The contents of this RFP, as revised and/or supplemented, and the successful Offerors’ proposal may be incorporated into the Contract. Should an Offeror object to any of the UNMH AND UNM SRMC Standard Terms and Conditions the Offeror must propose specific alternative language that would be acceptable to UNMH AND UNM SRMC. General references to the Offerors’ terms and conditions or attempts at complete substitutions are not acceptable to UNMH AND UNM SRMC and will result in disqualification of the Offerors’ proposal. Offerors’ must provide a brief statement of the purpose and impact, if any, of each proposed change followed by the specific proposed alternate wording.

Any proposed changes to the terms and conditions attached to this RFP must be stated in Offerors’ proposal in a Section marked “TERMS AND CONDITIONS”. Offerors are cautioned that any changes to the terms and conditions that are NOT stated in the RFP response will not be entertained by UNMH AND UNM SRMC at a later date. Any provisions in any proposal, quotation, acknowledgment or other forms or contract documents applicable to the services that are inconsistent, or in conflict, with any provisions of this RFP or the resultant contract will be ineffective and inapplicable.

UNMH AND UNM SRMC reserves the right to reject a proposal on the basis the compromising language cannot be accepted by UNMH AND UNM SRMC. Any additional terms and conditions which may be the subject of negotiation will be discussed only between UNMH AND UNM SRMC and the successful Offeror and shall not be deemed an opportunity to amend the Offeror’s proposal.

7.1 ACCEPTANCE AND REJECTION. If prior to final acceptance, any goods or services are found to be defective or not as specified, or if the University is entitled to revoke acceptance of them the University may reject or revoke acceptance, require Seller to correct without charge within a reasonable time, or require delivery at an equitable reduction in price, at the University's option. Seller shall reimburse the University for all incidental and consequential costs related to unaccepted goods or services. Notwithstanding final acceptance and payment, Seller shall be liable for latent defects, fraud, or such gross mistakes as amount to fraud. Acceptance of goods or services shall not waive the right to claim damages for breach of contract.

7.2 ALTERNATE OFFERS. Alternate offers will be accepted and considered provided they are “equal to” and meet all specifications of this RFP which may include all specifications of the Brand used to identify the quality of the goods and/or services requested. The University reserves the right to make the final determination as to whether or not an alternate offer is equal. It is the Offeror’s responsibility to provide, as part of the offer, descriptive literature, specifications and information on all alternate products and services offered. References of current users should be included. If the item(s) or service(s) offered are not clearly identified as alternate item(s) or services, it is understood that the offer is for item(s) and service exactly as specified in this RFP.

7.3 APPROPRIATION. The terms of the contract are contingent upon sufficient appropriations and authorization being made by the Regents of the University of New Mexico. If sufficient appropriations and authorization are not made by the Regents of the University of New Mexico, the contract shall, notwithstanding any other provisions of the contract, terminate immediately upon the Offeror’s receipt of written notice of termination from the UNMH AND UNM SRMC.
7.4 ASSIGNMENT. Any resultant Purchase Order/Agreement may be assignable by the University. Except as to any payment due hereunder, any resultant Purchase Order/Agreement shall not be assignable by Seller without written approval from the University.

7.5 AWARDS – MULTIPLE. UNMH AND UNM SRMC reserves the right to make multiple awards under this RFP, or to otherwise split the award of the items, projects and/or sections of this RFP to one or more vendors.

7.6 BRAND NAME OR EQUAL. The brand name(s), part and/or catalog number(s) are used to establish a level of quality and to describe the item(s) required. If offering a brand, part or catalog number other than that listed, please indicate items offered and include literature and/or technical specifications. Failure to do so may cause offer to be declared non-responsive.

7.7 CANCELLATION. The University reserves the right to cancel without penalty, this RFP, any resultant Purchase Order/Agreement, or any portion thereof for convenience, unsatisfactory performance, or unavailability of funds.

7.8 CHANGES. The University may make changes within the general scope of any resultant Purchase Order/Agreement by giving notice to Seller and subsequently confirming such changes in writing. If such changes affect the cost of, or the time required for performance of a resultant Purchase Order/Agreement, an appropriate equitable adjustment shall be made. No change by Seller shall be recognized without written approval of the University. Any claim of Seller for an adjustment under this Paragraph must be made in writing within thirty (30) days from the date of receipt by Seller of notification of such change. Nothing in this Paragraph shall excuse Seller from proceeding with the performance of the Purchase Order/Agreement as changed hereunder.

7.9 CASH DISCOUNTS. The University will take advantage of cash discounts offered whenever possible; however, cash discounts will not be used as a means to determine the lowest cost.

7.10 CLEAN UP. It is the Seller’s responsibility that the job site be kept clean and free of rubble while work is performed under this contract. Upon completion of work, all areas shall be cleared of all contractors’ equipment excess materials and rubble.

7.11 CONFLICT OF INTEREST. Seller shall disclose to the University Purchasing Department the name(s) of any University employee or member of the Board of Regents who has a direct or indirect financial interest in the Seller or in the proposed transaction. A University employee (or Regent) has a direct or indirect financial interest in the Seller or in the proposed transaction if presently or in the preceding twelve (12) months the employee/Regent or a close relative has an ownership interest in the Seller (other than as owner of less than 1% of the stock of a publicly traded corporation); works for the Seller, is a partner, officer, director, trustee or consultant to the Seller, has received grant, travel, honoraria or other similar support from the Seller, or has a right to receive royalties from the Seller. Seller shall file a Conflict of interest Disclosure form with the University Purchasing Department.

7.12 COOPERATION AND DISPUTE RESOLUTION. The parties agree that, to the extent compatible with the separate and independent management of each, they will maintain effective liaison and close cooperation. If a dispute arises related to the obligations or performance of either party under this Agreement, representatives of the parties will meet in good faith to resolve the dispute.

7.13 DAMAGE AND SECURITY OF UNMH AND UNM SRMC PROPERTY. The proposer shall be responsible for all damage to persons or property that occurs as a result of proposer’s fault or negligence, or that of any of his employees, agents and/or subcontractors. The proposer shall save and keep harmless UNMH AND UNM SRMC against any and all loss, cost, damage, claims, expense or liability in connection with the performance of this contract. Any equipment or facilities damaged by the proposer’s operations shall be repaired and/or restored to their original condition at the proposer’s expense, including but not limited to cleaning and painting.

7.14 DELIVERY DATE. Delivery is an important consideration and is a factor in determining the award. If you cannot meet the delivery date stated, please state your earliest delivery date in your offer.
7.15 DISCLOSURE OF PROPOSAL CONTENTS. The proposals will be kept confidential until UNMH AND UNM SRMC awards a price agreement. At that time, all proposals and documents pertaining to the proposals will be open to the public, except for material that is proprietary or confidential. The Procurement Managers will not disclose or make public any pages of a proposal on which the Offeror has stamped or imprinted "proprietary" or "confidential" subject to the following requirements:

Proprietary or confidential data shall be readily separable from the proposal in order to facilitate eventual public inspection of the non-confidential portion of the proposal. Confidential data is normally restricted to confidential financial information concerning the Offeror’s organization and data that qualifies as a trade secret in accordance with the Uniform Trade Secrets Act, 57-3A-1 to 57-3A-7 NMSA 1978. The price of service offered or the cost of services proposed shall not be designated a proprietary or confidential information.

If a request is received for disclosure of data for which an Offeror has made a written request for confidentiality, UNMH AND UNM SRMC shall examine the Offeror’s request and make a written determination that specifies which portions of the proposal should be disclosed. Unless the Offeror takes legal action to prevent the disclosure, the proposal will be so disclosed. The proposal shall be open to public inspection subject to any continuing prohibition on the disclosure of confidential data.

7.16 DISRUPTION OF NORMAL ACTIVITY. All work shall be performed so as not to interfere with normal College activities. When it is necessary to disrupt normal activities, the schedule of work, and the areas to be affected must be approved by UNMH AND UNM SRMC’s authorized representative prior to commencement of the work.

7.17 DISCOUNTS. If prompt payment discounts apply to any resultant Purchase Order/Agreement, any discount time will not begin until the materials, supplies, or services have been received and accepted and a correct invoice has been received by the University’s Accounts Payable Department. In the event testing is required prior to acceptance, the discount time shall begin upon completion of the tests and acceptance.

7.18 **ECCN REPORTING REQUIREMENT.** Seller acknowledges that providing goods and services under any resultant Purchase Order/Agreement is subject to compliance with all applicable United States laws, regulations, or orders, including those that may relate to the export of technical data or equipment, such as International Traffic in Arms Regulations ("ITAR") and/or Export Administration Act/Regulations ("EAR"). Seller agrees to comply with all such laws, regulations and orders as currently in effect or hereafter amended. Seller shall not disclose any export-controlled information, or provide any export-controlled equipment or materials to UNMH AND UNM SRMC without prior written notice. In the event that UNMH AND UNM SRMC agrees to receive such export-controlled information, equipment or materials, Seller shall: (i) include the Export Control Classification Number (ECCN) on the packing documentation, and, (ii) send an electronic copy of the ECCN number and packing documentation to: ECCN@UNM.EDU

7.19 ELIGIBILITY FOR PARTICIPATION IN GOVERNMENT PROGRAMS. Each party represents that neither it nor any of its management or any other employees or independent contractors who will have any involvement in the services or products supplied under a resultant Purchase Order/Agreement, have been excluded from participation in any government healthcare program, debarred from or under any other federal program (including but not limited to debarment under the Generic Drug Enforcement Act), or convicted of any offense defined in 42 U.S.C. Section 1320a-7, and that each party, its employees and independent contractors are not otherwise ineligible for participation in federal healthcare programs. Further, each party represents that it is not aware of any such pending action(s) (including criminal actions) against each party or its employees or independent contractors. Each party shall notify the other immediately upon becoming aware of any pending or final action in any of these areas.

7.20 EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION. In performing or providing the services and goods required under a resultant Purchase Order/Agreement, each party shall be an equal opportunity employer and shall conform to all affirmative action and other applicable requirements; accordingly, each party shall neither discriminate nor permit discrimination in its operations or employment practices against any person or group of persons on the basis of race, age, religion, color, national origin, ancestry, sex, physical or mental handicap or medical condition, sexual preference, prior military involvement or any other manner prohibited by law.
7.21 EQUIPMENT REQUIRED. The proposer shall be responsible for supplying and maintaining all equipment and materials necessary to complete the work to be performed under this RFP except as otherwise noted in the Specifications.

7.22 EMPLOYEE CERTIFICATION. The Offeror and all Offerors’ employees utilized on the work to be performed under this RFP must have the proper certification(s) and license(s) to comply with State and local requirements connected to this RFP. The Offeror shall use only fully qualified and approved service technicians to perform inspections, service and/or repairs under this request.

7.23 GENERAL TERMS AND CONDITIONS: UNMH AND UNM SRMC’s General Terms and Conditions are an equal and integral part of this request. All terms and conditions of this request will remain unchanged for the duration of the contract and will supersede and take precedence over any Offeror’s agreement forms. Offeror must include a detailed description regarding any exceptions to the terms and conditions of this RFP. If exceptions or deviations are not clearly stated, it is understood that the terms and conditions of this proposal shall govern.

UNMH AND UNM SRMC reserves the right to reject any proposal that does not meet the terms and conditions of the request for proposal. It further reserves the right to accept or reject any modifications to the terms and conditions if it is in the best interest of the UNMH AND UNM SRMC to do so.

7.24 F.O.B. Unless stated otherwise, the price for goods is F.O.B. the place of destination, and the place of destination is the University's designated campus address.

7.25 FOREIGN PAYMENTS. Payment for services performed by a foreign individual or a foreign corporation while in the US may be subject to 30% tax withholding per IRS Publication 515.

7.26 GOVERNING LAW. All resultant Purchase Order/Agreements shall be construed in accordance with the laws of the State of New Mexico as they pertain to Purchase Order/Agreements executed and fully to be performed within New Mexico, or federal law where applicable, but in either case excluding that body of law relating to choice of law.

7.27 **GRAMM-LEACH-BILEY ACT. Pursuant to the Gramm-Leach-Bliley Act and the regulations set forth at 16 CFR Part 314, The University of New Mexico Hospital and UNM Sandoval Regional Medical Center’s (“University”) requires its Service Providers to implement and maintain appropriate safeguards for the protection of Customer Information. Accordingly, the Service Provider shall implement and maintain a comprehensive information security program that contains administrative, technical and physical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of confidential Customer Information that it creates, receives, maintains, or transmits on behalf of the University. In addition, the Service Provider will require and ensure that any of its agents, sub-contractors, or sub-consultants, to which it provides confidential Customer Information of the University, implements appropriate security measures to protect confidential Customer Information of the University.

Service Provider shall not use or disclose covered data and information received from or created on behalf of the University except as permitted or required by this Purchase Order/Agreement, as required by law, or as otherwise authorized in writing by the University. Upon becoming aware of a security breach in which University Customer Information is used or disclosed in a manner not authorized or covered by this Purchase Order/Agreement, including any reasonable belief that an unauthorized individual has accessed a database containing covered data and information, or in violation of any applicable state or federal laws, Service Provider will report to the University any security incident immediately upon being aware of such a breach and take such corrective steps/action to remedy the breach as requested by the University and required by law.

Upon termination, cancellation, expiration or other conclusion of this Purchase Order/Agreement, Service Provider shall return to the University covered Customer Information and data unless the University requests in writing that such Customer Information and data be destroyed. Service Provider shall complete such return or destruction not less than 30 days after the conclusion of this Purchase Order/Agreement. Within such 30 day period, Service Provider shall certify in writing to the University that such return or destruction has been
completed. To the extent return or destruction is not feasible; this Purchase Order/Agreement shall remain in full force and effect.

Service Provider means any person or entity that receives, maintains, processes, or otherwise is permitted access to Customer Information through its direct provision of services to a financial institution. The Gramm-Leach-Bliley Act broadly defines “financial institution” as any institution engaging in the financial activities enumerated under the Bank Holding Company Act of 1956, including “making, acquiring, brokering, or servicing loans” and “collection agency services”. Because higher education institutions participate in financial activities, such as processing student financial aid and student loans, FTC regulations consider them financial institutions for purposes of the Gramm-Leach-Bliley Act.

Customer Information means any record containing nonpublic information as defined in 16 CFR 313.3(n), about a customer of a Financial Institution, whether in paper, electronic or other form that the University has obtained from a customer in the process of offering a financial product or service including offering student aid and loans to students as defined in 12 CFR 225.28. Any and all Customer Information provided by the University to the Service Provider or which the Service Provider acquires through its own efforts in rendering or providing any goods or services under this Purchase Order/Agreement, shall be considered confidential and held in strict confidence and shall only be released to the Service Provider’s own personnel, agents, sub-contractors and sub-consultants only to the extent necessary to provide or perform the goods and/or services required by this Purchase Order/Agreement. Such information shall not be released by the Service Provider to any other person or organization without the prior written consent and approval of the University.”

7.28 HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT (HIPAA). The parties agree to enter into a mutually acceptable amendment to a resultant Purchase Order/Agreement as necessary to comply with applicable federal laws and regulations governing the use and/or disclosure of individually identifiable health information. Such amendment shall be entered into on or before the date by which hospitals are required to be in compliance with the privacy regulations promulgated under the Health Insurance Portability and Accountability Act of 1996.

7.29 INDEMNIFICATION AND INSURANCE. Seller assumes the entire responsibility and liability for losses, expenses, damages, demands and claims in connection with or arising out of any actual or alleged personal injury (including death) and/or damage or destruction to property sustained or alleged to have been sustained in connection with or arising out of the goods delivered by Seller or the performance of the work by Seller its agents, employees, sub-contractors or consultants, except to the extent of liability arising out of the negligent performance of the work by or willful misconduct of the University. Seller shall indemnify, defend and hold harmless the University, its officers, agents, and employees from any and all liability for such losses, expenses, damages, demands, and claims and shall defend any suit or action brought against any or all of them based on any actual or alleged personal injury or damages and shall pay any damage costs and expenses including attorneys’ fees, in connection with or resulting from such suit or action. Seller will also indemnify, defend and hold harmless the University against any joint and several liabilities imposed against the University with respect to strict products liability claims attributable to the fault of the Seller.

Seller agrees that it and its sub-contractors will maintain general liability, product liability and property damage insurance in reasonable amounts (at least equal to the New Mexico Tort Claims Act limits) covering the above obligation and will maintain workers' compensation coverage covering all employees performing under a resultant Purchase Order/Agreement on premises occupied by or under the control of the University. The liability of the University will be subject is all cases to the immunities and limitations of the New Mexico Tort Claims Act, Sections 41-4-1 et seq. NMSA 1978, as amended.”

7.30 INDEPENDENT BUSINESS. Neither Seller nor any of its agents shall be treated as an employee of the University for any purpose whatsoever. Seller declares that Seller is engaged in an independent business and has complied with all federal, state and local laws regarding business permits and licenses of any kind that may be required to carry out the said business and the tasks to be performed under any resultant Purchase Order/Agreement. Seller further declares that it is engaged in the same or similar activities for other clients and that the University is not Seller’s sole or only client or customer.

7.31 INSPECTION. The University may inspect, at any reasonable time, any part of Seller's plant or place of business, which is related to performance of any resultant Purchase Order/Agreement. Final Inspection will
be made at the destination upon completion of delivery of goods and services. Acceptance of delivery shall not be considered acceptance of the goods and/or services furnished. Final inspection shall include any testing or inspection procedures required by the Specifications.

7.32 INSPECTIONS, SELLER. The Seller shall be responsible for securing at Seller’s expense, all required inspections to comply with Federal, State and/or Local regulations governing the work performed under this RFP.

7.33 INSTRUMENTALITIES: Seller shall supply all equipment, tools, materials and supplies required for the performance of the designated tasks or requirements set forth in any resultant Purchase Order/Agreement or its attachments.

7.34 INSURANCE REQUIREMENTS: The Offeror is required to carry insurance, meeting the requirements in the Section labeled “Insurance Requirements” or as noted in the specifications. Offeror must submit proof of insurance in the form of a “Certificate of Insurance” to the appropriate Buyer prior to commencing work under this contract. Offeror’s insurance shall remain in effect for the entire term of the contract and must be extended to coincide with any future contract extensions. This Request for Proposal Number must appear on the Certificate of Insurance.

7.35 LATE SUBMISSIONS. Late submissions of offers will not be accepted or considered unless it is determined by the University that the late receipt was due solely to mishandling by the University or the offer is the only offer received. Late submissions will be returned unopened.

7.36 MERGER. The contract shall incorporate all the agreements, covenants, and understandings between the parties thereto concerning the subject matter thereof. No prior agreements or understandings, verbal or otherwise, of the parties or their agents shall be valid or enforceable unless embodied in the contract.

7.37 MINIMUM WAGE RATES AND PAYROLL SUBMITTALS. Jobs with an estimate cost >$60,000 done under this IFB will be subject to the Public Works Minimum Wage Act (13-4-11 through 13-4-17, NMSA, 1978 as amended) and per exhibit labeled “Wage Act.” Minimum wages will be supplied at time of award or may be obtained from the State of New Mexico Labor & Industrial Commission, 1596 Pacheco Street, Santa Fe, NM 87501.

For all federally funded construction projects greater than $2,000 the contractor and all subcontractors and their tiers shall deliver or mail legible copies of the certified weekly payrolls for all costs/services invoiced for the project awarded resulting from this IFB to the appropriate oversight agency and UNMH AND UNM SRMC’s Office of Capital Projects in accordance with 29 CFR 3.4. The Contractor shall certify that all payrolls submitted meet or exceed the applicable wage determination as shown in this IFB.

Contractor shall be responsible for the collection and submittal of all certified payrolls and shall retain a copy of all payrolls for a period of 3 years from the completion of the project. A copy of all certified payrolls shall be sent weekly to UNMH AND UNM SRMC Office of Capital Projects. The Contractor shall be responsible for labeling each submittal with the project name; payroll period; and contractor and/or subcontractor name; each employee’s full name and social security number, address and zip code, birth date, sex and occupation, time and day of when employees work week begins, hours worked each day, total hours worked each workweek, basis on which employees’ wages are paid, regular hourly pay rate, total daily or weekly straight-time earnings, total overtime earnings for the workweek, all additions to or deductions from the employee’s wages, date of payment and the pay period covered by the payment.

7.38 NEW MATERIALS REQUIRED. All materials and equipment delivered and/or installed under this RFP shall be new and be the standard products of a manufacturer regularly engaged in the production of the materials and equipment. Where two or more units of the same class of materials and/or equipment are required, the units shall be the products of the same manufacturer. Any manufacturer’s data supplied with the item(s) shall be submitted to UNMH AND UNM SRMC’s authorized representative.

7.39 NON-PERFORMANCE PENALTIES. The Offeror agrees to pay UNMH AND UNM SRMC an amount equal to $500.00 per day for each calendar day past the completion date specified in this contract that
completion or delivery is delayed. UNMH AND UNM SRMC may subtract this amount from any monies due to the Offeror.

7.40 NOTICES: Any notice required to be given or which may be given under this RFP or a resultant contract shall be in writing and delivered in person or via first class mail.

Address
The University of New Mexico Hospital and UNM Sandoval Regional Medical Center's Purchasing Department
933 Bradbury Dr. Se Suite 3165
Albuquerque, NM 87106

7.41 OPTION TO RENEW. UNMH AND UNM SRMC reserves the option to renew the RFP’s resultant contract if such renewal is mutually agreed to and found to be in the best interests of UNMH AND UNM SRMC. These renewal options will be exercised in increments as indicated in the RFP’s specifications, or if not stated, in one-year terms.

7.42 OTHER APPLICABLE LAWS. Any provision required to be included in a resultant Purchase Order/Agreement by any applicable and valid executive order, federal, state or local law, ordinance, rule or regulation shall be deemed to be incorporated herein.

7.43 OSHA REGULATIONS. The Seller shall abide by Federal Occupational Safety and Health Administration (OSHA) regulations, the State of New Mexico Environmental Improvement Board’s Occupational Health and Safety Regulations that apply to the work performed under this RFP. The Seller shall defend, indemnify, and hold UNMH AND UNM SRMC free and harmless against any and all claims, loss, liability and expense resulting from any alleged violation(s) of said regulation(s) including but not limited to, fines or penalties, judgments, court costs and attorney’s fees.

7.44 OWNERSHIP OF DOCUMENTS. All documents which are prepared by the Seller or any member of the consulting team that form a part of its services under a resultant Purchase Order/Agreement are the sole property of The University of New Mexico Hospital and UNM Sandoval Regional Medical Center's and such works may not be reproduced nor distributed without the express written consent of The University of New Mexico Hospital and UNM Sandoval Regional Medical Center's and shall be delivered to UNMH AND UNM SRMC upon termination and or completion of this Purchase Order/Agreement if UNMH AND UNM SRMC so requests. The Seller shall be responsible for the protection and/or replacement of any original documents in its possession. UNMH AND UNM SRMC shall receive all original drawings and the Seller shall retain a reproducible copy.

Work Made for Hire - For the consideration payable under a resultant Purchase Order/Agreement, the work product required by the Purchase Order/Agreement shall be considered a work made for hire within the meaning of that term under the copyright laws of the United States, applicable common law and corresponding laws of other countries. UNMH AND UNM SRMC shall have the sole right and authority to seek statutory copyright protection and to enjoy the benefits of ownership of the work. The party performing the work hereby assigns all rights, title and interest in and to the work to UNMH AND UNM SRMC and shall require all members of the consulting team to agree in writing that they assign all right, title and interest in work product required by the Purchase Order/Agreement to UNMH AND UNM SRMC.

Inventions. For the consideration payable under a resultant Purchase Order/Agreement, the Seller agrees to report any invention arising out of the Work required by the Purchase Order/Agreement to UNMH AND UNM SRMC. UNMH AND UNM SRMC shall have sole right and authority to seek statutory patent protection under United States and foreign patent laws and to enjoy the benefits of ownership of the invention, whether or not the invention was required of the Seller or member of the consulting team as part of the performance of Work. The Seller hereby assigns all right, title and interest in and to inventions made in the course of the Work to UNMH AND UNM SRMC and agrees to execute and deliver all documents and do any and all things necessary and proper to effect such assignment. Seller shall require all members of the
Consulting Team to agree in writing that they will execute and deliver all documents and do any and all things necessary and proper to effect assignment of inventions arising out of the Work required by the Purchase Order/Agreement to UNMH AND UNM SRMC.

*Survival of Provision.* This provision shall survive expiration and termination of the Purchase Order/Agreement.

7.45 **PACKAGING.** Packaging of materials under this contract shall meet the minimum specifications indicated under Packaging Specifications. If there are no packaging specifications listed, the packaging shall be suitable to insure that the materials are received in an undamaged condition. All material returns will be at the Offeror’s expense.

7.46 **PATENT AND COPYRIGHT INDEMNITY.** Seller shall indemnify, defend and hold harmless the University against all losses, liabilities, lawsuits, claims, expenses (including attorneys' fees), costs, and judgments incurred through third party claims of infringement of any copyright, patent, trademark or other intellectual property rights.

7.47 **PAYMENTS FOR PURCHASING.** No warrant, check or other negotiable instrument shall be issued in payment for any purchase of services, construction, or items of tangible personal property unless the Purchasing Office or the UNMH AND UNM SRMC using agency certifies that the services, construction or items of tangible personal property have been received and meet specifications.

7.48 **PAYMENT TERMS.** Upon written request from Seller for payment, the University shall, within 30 days, issue a written certification of complete or partial acceptance or rejection, with payment to follow within 30 days after certificate of acceptance. Late payment charges shall be ½ of 1% per month.

7.49 **PAYROLL OR EMPLOYMENT TAXES.** No federal, state, or local income, payroll or employment taxes of any kind shall be withheld or paid by the University with respect to payments to Seller or on behalf of Seller its agents or employees. Seller shall withhold and pay any such taxes on behalf of its employees as required by law. The payroll or employment taxes that are the subject to this paragraph include but are not limited to FICA, FUTA, federal personal income tax, state personal income tax, state disability insurance tax, and state unemployment insurance tax. If Seller is not a corporation, Seller further understands that Seller may be liable for self-employment (Social Security) tax, to be paid by Seller according to law.

7.50 **PENALTIES.** The Procurement Code, Section 13-1-28 at seq. NMSA 1978, as amended imposes civil and criminal penalties for its violation. In addition, the New Mexico criminal statutes impose criminal penalties for bribes, gratuities and kickbacks.

7.51 **PERIOD FOR OFFER ACCEPTANCE.** Offeror agrees that any offer made submitted will be good for a period of one hundred and eighty (180) calendar days; an additional time period may be requested by UNMH AND UNM SRMC.

7.52 **PROTECTION OF CONFIDENTIAL DATA.** Service Provider agrees to abide by the limitations on re-disclosure of personally identifiable information from education records set forth in The Family Educational Rights and Privacy Act (34 CFR § 99.33 (a)(2) and with the terms set forth below. 34 CFR 99.33 (a)(2) states that the officers, employees and agents of a party that receives education record information from the Institution may use the information, but only for the purposes for which the disclosure was made.

**Definition:** Covered data and information (CDI) includes paper and electronic student education record information supplied by Institution, as well as any data provided by Institution’s students to the Service Provider. Acknowledgment of Access to CDI: Service Provider acknowledges that the Purchase Order/Agreement allows the Service Provider access to CDI.

**Prohibition on Unauthorized Use or Disclosure of CDI:** Service Provider agrees to hold CDI in strict confidence. Service Provider shall not use or disclose CDI received from or on behalf of Institution (or its students) except as permitted or required by the Purchase Order/Agreement, as required by law, or as otherwise authorized in writing by Institution. Service Provider agrees not to use CDI for any purpose other than the purpose for which the disclosure was made. If the Family Policy Compliance Office of the U.S.
Department of Education determines that the Service Provider improperly disclosed personally identifiable information obtained from Institution’s education records, Institution may not allow the Service Provider access to education records for at least five years.

Return or Destruction of CDI: upon termination, cancellation, expiration or other conclusion of the Purchase Order/Agreement. Service Provider shall return all CDI to Institution or, if return is not feasible, destroy any and all CDI. If the Service Provider destroys the information, the Service Provider shall provide Institution with a certificate confirming the date of destruction of the data.

Return or Destruction of CDI: upon termination, cancellation, expiration or other conclusion of the Purchase Order/Agreement. Service Provider shall return all CDI to Institution or, if return is not feasible, destroy any and all CDI. If the Service Provider destroys the information, the Service Provider shall provide Institution with a certificate confirming the date of destruction of the data.

Maintenance of the Security of Electronic Information: Service Provider shall develop, implement, maintain and use appropriate administrative, technical and physical security measures to preserve the confidentiality, integrity and availability of all electronically maintained or transmitted CDI received from, or on behalf of Institution or its students. These measures will be extended by contract to all sub-contractors used by Service Provider.

Maintenance of the Security of Electronic Information: Service Provider shall develop, implement, maintain and use appropriate administrative, technical and physical security measures to preserve the confidentiality, integrity and availability of all electronically maintained or transmitted CDI received from, or on behalf of Institution or its students. These measures will be extended by contract to all sub-contractors used by Service Provider.

Reporting of Unauthorized Disclosures or Misuse of Covered Data and Information: Service Provider shall, within one day of discovery, report to Institution any use or disclosure of CDI no authorized by this Purchase Order/Agreement or in writing by Institution. Service Provider’s report shall identify: (i) the nature of the unauthorized use or disclosure, (ii) the CDI used or disclosed, (iii) who made the unauthorized use or received the unauthorized disclosure, (iv) what Service Provider has done or shall do to mitigate any deleterious effect of the unauthorized use or disclosure, and (v) what corrective action Service Provider has taken or shall take to prevent future similar unauthorized use or disclosure. Service Provider shall provide such other information, including a written report, as reasonably requested by Institution.

Reporting of Unauthorized Disclosures or Misuse of Covered Data and Information: Service Provider shall, within one day of discovery, report to Institution any use or disclosure of CDI no authorized by this Purchase Order/Agreement or in writing by Institution. Service Provider’s report shall identify: (i) the nature of the unauthorized use or disclosure, (ii) the CDI used or disclosed, (iii) who made the unauthorized use or received the unauthorized disclosure, (iv) what Service Provider has done or shall do to mitigate any deleterious effect of the unauthorized use or disclosure, and (v) what corrective action Service Provider has taken or shall take to prevent future similar unauthorized use or disclosure. Service Provider shall provide such other information, including a written report, as reasonably requested by Institution.

Indemnity: Service Provider shall defend and hold Institution harmless from all claims, liabilities, damages, or judgments involving a third party, including Institution’s costs and attorney fees, which arise as a result of Service Provider’s failure to meet any of its obligations under this Purchase Order/Agreement.

Indemnity: Service Provider shall defend and hold Institution harmless from all claims, liabilities, damages, or judgments involving a third party, including Institution’s costs and attorney fees, which arise as a result of Service Provider’s failure to meet any of its obligations under this Purchase Order/Agreement.

Note: Inclusion of data by students into the terms of the contract will depend upon the contract and may not be needed.”

7.53 PUBLIC INFORMATION. All information, except that classified as confidential, will become public information at the time that the RFP is awarded. Confidential information must be marked “CONFIDENTIAL” in red letters in the upper right hand corner of the pages containing the confidential information. Price and information concerning the specifications cannot be considered confidential. (UNMH AND UNM SRMC Purchasing Regulations 11.6.3.)

7.54 PURCHASE ORDER/AGREEMENT. Any resultant Purchase Order/Agreement shall be the sole and entire Purchase Order/Agreement between the parties; any documents incorporated into the Purchase Order/Agreement are listed explicitly on the front side of the Purchase Order/Agreement, or are incorporated by implication by the terms of any resultant Purchase Order/Agreement. Any terms inconsistent with or in addition to any resultant Purchase Order/Agreement proposed by Seller are deemed rejected unless agreed to in writing by an appropriate University official.

7.55 RELATIONSHIP OF PARTIES. The parties and their respective employees are at all times acting as independent Offerors. Offeror will not be considered an employee of UNMH AND UNM SRMC for any purpose, including, but not limited to, workers’ compensation, insurance, bonding or any other benefits afforded to employees of UNMH AND UNM SRMC. Neither party has any express or implied authority to assume or create any obligation or responsibility on behalf of or in the name of the other party.

7.56 RELEASE UNMH AND UNM SRMC REGENTS. The Contractor shall, upon final payment of the amount due under the contract release Regents of The University of New Mexico Hospital and UNM Sandoval Regional Medical Center s, their officers and employees and the State of New Mexico from liabilities, claims and obligations whatsoever arising from the contract. The Contractor agrees not to purport to bind The University of New Mexico Hospital and UNM Sandoval Regional Medical Center s or the State of New Mexico to any obligation not assumed in the contract by the Regents of The University of New Mexico Hospital and UNM Sandoval Regional Medical Center s or the State of New Mexico unless the Contractor has express, written authority to do so, and then only within the strict limits of that authority.
7.57 **REMOVAL OF OFFEROR’S EMPLOYEE(S).** UNMH AND UNM SRMC may request that Offeror’s employee(s) be removed from the work under the contract for cause. The UNMH AND UNM SRMC may immediately terminate, with written notice to Offeror, the services of any Contacto employee, if the University of New Mexico’s management believes in good faith that Offeror’s employee is unable to perform the services with reasonable skill. Offeror’s agreement may also be terminated if Offeror’s liability insurance coverage is modified or terminated.

7.58 **REQUEST AS AGREEMENT:** This Request for Proposal governs any offer and the selection process. Submission of an offer in response to this Request for Proposal constitutes acceptance of all this Request’s terms and conditions. The terms and conditions of the Request may not be modified, altered, nor amended in any way by any Offer. Any such modification, alteration, or amendment shall be considered to be a request for modification, alteration or amendment, which request shall be deemed denied unless specifically accepted in writing by UNMH AND UNM SRMC. Upon issuance of a Purchase Order, this Request shall be superseded, unless it is referenced on the front page of the Purchase Order, in which case it shall be deemed to be fully incorporated and integrated into the resultant contract.

7.59 **RETENTION OF RECORDS.** Contractor will maintain detailed records indicating the date, time and nature of services provided under the Agreement for a period of at least five years after termination of the Agreement, and will allow access for inspection by The University of New Mexico Hospital and UNM Sandoval Regional Medical Center, the Secretary for Health and Human Services, the Comptroller General and the Inspector General to such records for the purpose of verifying costs associated with provisions of services under the Agreement.

7.60 **RIGHT TO PROTEST.** The solicitation of the award of an RFP/Invitation for Bid (IFB) may be protested as per the UNMH AND UNM SRMC Purchasing Regulation 11, Protest Procedures, which may be found at the following UNMH AND UNM SRMC web site: http://www.UNMH AND UNM SRMC.edu/~purch/reg11.pdf.

7.61 **RIGHT TO WAIVE MINOR IRREGULARITIES.** The UNMH AND UNM SRMC Evaluation Committee reserves the right to waive minor irregularities. The UNMH AND UNM SRMC Evaluation Committee also reserves the right to waive mandatory requirements provided that all of the otherwise responsive proposals failed to meet the same mandatory requirements and the failure to do so does not otherwise materially affect the procurement. This right is at the sole discretion of the UNMH AND UNM SRMC Evaluation Committee.

7.62 **SCHEDULE DELAYS.** If after the award, the Seller becomes aware of possible problems that could result in delay in completion of the work on the agreed-to schedule; the Seller must immediately notify the Buyer or the designated representative. The initial notification of the delay may be verbal with a written confirmation, giving the probable cause and effect, with recommendations for alternate action. Nothing in this paragraph will be interpreted as relieving the Seller of its contractual obligations; however, failure to notify UNMH AND UNM SRMC promptly will be basis for determining the Seller responsibility in an otherwise excusable delay.

7.63 **SELLER’S EMPLOYEES AND AGENTS.** Seller shall have complete charge and responsibility for persons employed by Seller and engaged in the performance of the specified work. The Seller, its agents and employees state that they are independent contractors and not employees of the University. Seller, its agents and employees shall not accrue leave, retirement, insurance, bonding or any other benefit afforded to employees of the University as a result of any resultant Purchase Order/Agreement.

7.64 **SITE FAMILIARITY.** The Seller shall be responsible for thoroughly inspecting the site and work to be done prior to submission of an offer. The Seller warrants by this submission that the site has been thoroughly inspected and the work to be done and that the offer includes all costs required to complete the work. The failure of the Seller to be fully informed regarding the requirements of this Request will not constitute grounds or any claim, demand for adjustment or the withdrawal of an offer after the opening.

7.65 **SITE INSPECTION.** The site(s) referenced in this RFP are available for inspection. Arrangements may be made by contacting the individual listed on the cover sheer.
7.66 STATE AND LOCAL ORDINANCES. The Seller shall perform work under the resultant contract in strict accordance with the latest adopted version of all State and local codes, ordinances, and regulations governing the work involved. All materials and labor necessary to comply with the rules, regulations and ordinances shall be provided by the Seller. Where the drawings and/or specifications indicate materials or construction in excess of the code requirements, the drawings and/or specifications shall govern. The Seller shall be responsible for the final execution of the work to meet these requirements. In the event of a conflict between various codes and standards, the more stringent shall apply.

7.67 STATE AND LOCAL ORDINANCES. The Offeror shall perform work under this contract in strict accordance with the latest adopted version of all State and local codes, ordinances, and regulations governing the work involved.

7.68 TAX SEGREGATION (CONSTRUCTION RELATED PROJECTS). In the performance of construction related services under this solicitation, the Seller agrees to work with and cooperate with the University’s Tax Cost Segregation Consultant. The University’s tax cost segregation consultant will be responsible for coordination, oversight and analysis of the effective application of New Mexico Gross Receipts Tax for each general Offeror involved with the construction projects at UNMH AND UNM SRMC. Such services of the segregation consultant will be performed in accordance with New Mexico Statutes and relative regulations governing the application of New Mexico gross receipts tax to tangible personal property acquisition made by UNMH AND UNM SRMC for various construction projects.

7.69 TERMINATION AND DELAYS. The University may by written notice stating the extent and effective date, terminate any resultant Purchase Order/Agreement for convenience in whole or in part, at any time. The University shall pay Seller as full compensation for performance until such termination: (1) the unit or pro rata order price for the delivered and accepted portion; and (2) incidental damages, not otherwise recoverable from other sources by Seller, as approved by the University, with respect to the undelivered or unaccepted portion of any resultant Purchase Order/Agreement provided compensation hereunder shall in no event exceed the total contracted price. Such amount will be limited to Seller's actual cost, and may not include anticipated profits. The University shall not be liable for consequential damages. The University may by written notice terminate any resultant Purchase Order/Agreement in whole or in part for Seller's default if Seller refuses or fails to comply with the provisions of a resultant Purchase Order/Agreement or fails to make progress so as to endanger performance and does not cure such failure within a reasonable period of time. In such event, the University may otherwise secure the materials, supplies or services ordered, and Seller shall be liable for damages suffered by the University thereby, including incidental and consequential damages. If after notice of termination, the University determines Seller was not in default, or if Seller's default is due to failure of the University, termination shall be deemed for the convenience of the University. The rights and remedies of the University provided in this paragraph shall not be exclusive and are in addition to any other rights and remedies provided by law or under a resultant Purchase Order/Agreement as used in this paragraph, the word “Seller” includes Seller and Seller’s sub-suppliers at any tier.

7.70 THIRD PARTIES. Nothing in this Agreement, express or implied, is intended to confer any rights, remedies, claims, or interests upon a person not a party to this Agreement.

7.71 TITLE AND DELIVERY. Title to the materials and supplies passed hereunder shall pass to the University upon acceptance at the FOB point specified, subject to the right of the University to reject. For any exception to the delivery date specified, Seller shall give prior notification and obtain approval thereto from the University's Purchasing Department. Time is of the essence and the Purchase Order/Agreement is subject to termination for failure to deliver on time.

7.72 WAIVER. The Contract shall contain a provision that states that no waiver of any breach of the Contract or any terms or conditions thereof shall be held to be a waiver of any other or subsequent breach; nor shall any waiver be valid, alleged or binding unless the same shall be in writing and signed by the party to have granted the waiver.

7.73 WARRANTIES. Seller warrants the goods and/or services furnished to be exactly as specified in any resultant Purchase Order/Agreement, free from defects in Seller's design, labor, materials and manufacture, and to be in compliance with any drawings or specifications incorporated herein and with any samples furnished by Seller. All applicable UCC warranties express and implied are incorporated herein.
7.74 **WARRANTY:** Please state the warranty for equipment to be supplied under this RFP. A copy of the warranty should be included in your submission.

7.75 **WORKERS COMPENSATION.** No workers compensation insurance has been or will be obtained by UNMH AND UNM SRMC on account of Seller or its employees or agents. Seller shall comply with the workers compensation laws with respect to Seller and Seller's employees and agents.

7.76 **WORKMANSHIP/COOPERATION.** All work shall be done in a neat, workman-like manner using acceptable equipment and methods consistent with that level of care and skill ordinarily exercised by members of the profession/trade and in accordance with sound professional/trade standards and ethical practice. The Seller will cooperate with the University and other contractors and coordinate their work involving other contractors through the University's authorized representative.

(Blank to next page)
## APPENDIX A

### COST RESPONSE FORM for UNMH Only

<table>
<thead>
<tr>
<th>General Fringe Benefits Consulting Hourly Rates</th>
<th>Year 1</th>
<th>Year 2</th>
<th>After Guaranteed Period Rate Increase Max</th>
<th>Justification/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consultant</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Actuary</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Underwriter</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Analyst</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Support/Administrative</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Retirement Benefits Consulting Hourly Rates</th>
<th>Year 1</th>
<th>Year 2</th>
<th>After Guaranteed Period Rate Increase Max</th>
<th>Justification/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consultant</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Actuary</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Underwriter</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Analyst</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Support/Administrative</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### General Fringe Benefits Consulting Hourly Rates

<table>
<thead>
<tr>
<th>Consultant</th>
<th>Actuary</th>
<th>Underwriter</th>
<th>Analyst</th>
<th>Support/Administrative</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Year 1</th>
<th>Year 2</th>
<th>After Guaranteed Period Rate Increase Max</th>
<th>Justification/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Retirement Benefits Consulting Hourly Rates

<table>
<thead>
<tr>
<th>Consultant</th>
<th>Actuary</th>
<th>Underwriter</th>
<th>Analyst</th>
<th>Support/Administrative</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Year 1</th>
<th>Year 2</th>
<th>After Guaranteed Period Rate Increase Max</th>
<th>Justification/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## General Fringe Benefits Consulting Hourly Rates

<table>
<thead>
<tr>
<th>Consultant</th>
<th>Year 1</th>
<th>Year 2</th>
<th>After Guaranteed Period Rate Increase Max</th>
<th>Justification/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Actuary</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Underwriter</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Analyst</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Support/Administrative</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## Retirement Benefits Consulting Hourly Rates

<table>
<thead>
<tr>
<th>Consultant</th>
<th>Year 1</th>
<th>Year 2</th>
<th>After Guaranteed Period Rate Increase Max</th>
<th>Justification/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Actuary</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Underwriter</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Analyst</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Support/Administrative</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
EXHIBIT A
RESIDENT VETERANS PREFERENCE CERTIFICATION

________________________________________ (NAME OF CONTRACTOR) herby certifies the following in regard to application of the resident veterans’ preference to this procurement:

Please check one only:

_____ I declare under penalty of perjury that my business prior year revenue starting January 1 ending December 31 is less than $1M allowing me the 10% preference discount on this solicitation. I understand that knowing giving false or misleading information about this fact constitutes a crime.

_____ I declare under penalty of perjury that my business prior year revenue starting January 1 ending December 31 is more than $1M but less than $5M allowing me the 8% preference discount on this bid or proposal. I understand that knowing giving false or misleading information about this fact constitutes a crime.

_____ I declare under penalty of perjury that my business prior year revenue starting January 1 ending December 31 is more than $5M allowing me the 7% preference discount on this bid or proposal. I understand that knowing giving false or misleading information about this fact constitutes a crime.

“I agree to submit a report, or reports, to the State Purchasing Division of the General Services Department declaring under penalty of perjury that during the last calendar year starting January 1 and ending on December 31, the following to be true and accurate:

“In conjunction with this procurement and the requirements of this business’ application for a Resident Veteran Business Preference/resident Veteran Contractor Preference under Section 13-1-21 or 13-1-22 NMSA 1978, when awarded a contract which was on the basis of having such veterans preference, I agree to report to the State Purchasing Division of the General Services Department the awarded amount involved. I will indicate in the report the award amount as a purchase from a public a body or as a public works contract from a public body as the case may be.

“I understand that knowingly giving false or misleading information on this report constitutes a crime”

I declare under penalty of perjury that this statement is true to the best of my knowledge. I understand that giving false or misleading statements about material fact regarding this matter constitutes a crime.

________________________________________ __________________________
(Signature of Business Representative) Date:

*Must be an authorized signatory for the Business

The representations made in checking the boxes constitutes a material representation by the business that is subject to protest and may result in denial of an award or unaware of the procurement involved if the statements are proving to be incorrect.
EXHIBIT B
AUTHORIZED SIGNATURE PAGE

THE FOLLOWING OFFEROR INFORMATION MUST BE COMPLETED AND RETURNED WITH THE RFB:

Please note that the information requested on the certification form is for reporting purposes only and will not be used in evaluating or awarding an agreement.

ACKNOWLEDGMENT OF ADDENDA

The undersigned acknowledges receipt of the following addenda:

Addenda No. _____ Dated ______ Addenda No. _____ Dated ______

Addenda No. _____ Dated ______ Addenda No. _____ Dated ______

New Mexico State Preference Number (Pursuant to Sections 13-1-1, 13-1-21.2 & 13-4-2 NMSA 1978, Offerors Claiming 5% Preference Must be Certified Prior to IFB or RFP Opening):

- Resident Business: Pref. Number ________________________________
- Resident Manufacturer: Pref. Number ________________________________
- Resident Offeror: Pref. Number ________________________________
- New York state business enterprise: Yes_____ No______

The undersigned, as an authorized representative for the Company named below, acknowledges that the Offeror has examined this RFP with its related documents and is familiar with all of the conditions surrounding the described materials, labor and/or services. Offeror hereby agrees to furnish all labor, materials and supplies necessary to comply with the specifications in accordance with the Terms and Conditions set forth in this RFP and at the prices stated within the RFP.

The undersigned further states that the company submitting this RFP is not in violation of any applicable Conflict of Interest laws or regulations or any other related clauses included in this RFP.

COMPANY NAME ____________________________________________________________

ADDRESS ________________________________________________________________

CITY/STATE/ZIP ____________________________________________________________

TELEPHONE: __________ FAX: ___________ EMAIL: ____________________________

NEW MEXICO GROSS RECEIPTS TAX NO ________________________________

FEDERAL EMPLOYER ID NUMBER (FEIN) ________________________________

SIGNATURE OF AUTHORIZED REPRESENTATIVE _____________________________

PRINTED OR TYPED NAME _______________________________________________

TITLE __________________________________________________________________

DATE ____________________________________________________________________
EXHIBIT C
SMALL AND SMALL DISADVANTAGED BUSINESS CERTIFICATION

The University of New Mexico Hospital and UNM Sandoval Regional Medical Center participates in the Government’s Small and Small Disadvantaged Business programs. This requires written certification from our suppliers and Offerors as to their business status. Please furnish the information requested below.

1.0 Small Business – An enterprise independently owned and operated, not dominant in its field and meets employment and/or sales standards developed by the Small Business Administration. See 13 CFR 121.201

1.a Small Disadvantaged Business – a Small Business Concern owned and controlled by socially and economically disadvantaged individuals; and

1.b Women-Owned Business Concern – A business that is at least 51% owned by a woman or women who also control and operate it. Control in this context means exercising the power to make policy decisions. Operate in this context means being actively involved in the day-to-day management.

1.c HUBZone Small Business Concern – A business that is located in historically underutilized business zones, in an effort to increase employment opportunities, investment and economic development in those areas as determined by the Small Business Administration’s (SBA) List of Qualified HUBZone Small Business Concerns.

1.d Veteran-Owned Small Business Concern – A business that is at least 51% owned by one or more veterans; or in the case of any publicly owned business, at least 51% of the stock of which is owned and controlled by one or more veterans and the management and daily business operations of which are controlled by one or more veterans.

1.e Service Disabled Veteran-Owned Small Business – A business that is at least 51% owned by one or more service disabled veterans; or in the case of any publicly owned business, at least 51% of the stock of which is owned and controlled by one or more service disabled veterans and the management and daily business operations of which are controlled by one or more service disabled veterans. Service disabled veteran means a veteran as defined in 38 U.S.C. 101(2) with a disability that is service connected.

Company Name:___________________________________________
Street Address:___________________________________________
City: ________________________________________ State & Zip: __________
Telephone: ____________________________________________
County: ________________________________________

Is this firm a (please check): □ Division □ Subsidiary □ Affiliated? Primary NAICS Code: __________

If an item above is checked, please provide the name and address of the Parent Company below:

___________________________________________
___________________________________________
___________________________________________
___________________________________________
___________________________________________

Signature and Title of Individual Completing Form: _______________________________
Date _______________________

Check All Categories That Apply:
[ ] 1. Small Business
[ ] 2. Small Disadvantaged Business (*Must be SBA Certified)*
[ ] 3. Woman Owned Small Business
[ ] 4. HUBZone Small Business Concern (*Must be SBA Certified)*
[ ] 5. Veteran Owned Small Business
[ ] 6. Disabled Veteran Owned Small Business
[ ] 7. Historically Black College/University or Minority Institution
[ ] 8. Large Business

THANK YOU FOR YOUR COOPERATION

Notice: In accordance with U.S.C. 645(d), any person who misrepresents a firm’s proper size classification shall (1) be punished by imposition of a fine, imprisonment, or both; (2) be subject to administrative remedies; and (3) be ineligible for participation in programs conducted under the authority of the Small Business Act.

If you have difficulty determining your size status, you may contact the Small Business Administration at 1-800-U-ASK-SBA or 202-205-6618. You may also access the SBA website at www.sba.gov/size or you may contact the SBA Government Contracting Office at 817-684-5301.

NOTE:
This certification is valid for a one year period. It is your responsibility to notify us if your size or ownership status changes during this period. After one year, you are required to re-certify with us.

The University of New Mexico Hospital and UNM Sandoval Regional Medical Center’s Purchasing Department MSC01 1240 Albuquerque, NM 87131 505-277-2036 (voice) 505-277-7774 (fax)

(Rev. 6/2002)
EXHIBIT D
THE UNIVERSITY OF NEW MEXICO HOSPITAL AND UNM SANDOVAL REGIONAL MEDICAL CENTER’S SUPPLIER CONFLICT OF INTEREST AND DEBARMENT/SUSPENSION CERTIFICATION FORM

CONFlict OF INTEREST
The authorized Person, Firm and/or Corporation states that to the best of his/her belief and knowledge:
No employee or Regent of The University of New Mexico Hospital and UNM Sandoval Regional Medical Center s (or close relative), with the exception of the person(s) identified below, has a direct or indirect financial interest in the Offeror or in the proposed transaction. Offeror neither employs, nor is negotiating to employ, any University of New Mexico Hospitals employee, Regent or close relative, with the exception of the person(s) identified below. Offeror did not participate, directly or indirectly, in the preparation of specifications upon which the IFB or offer is made. If the Offeror is a New Mexico State Legislator or if a New Mexico State Legislator holds a controlling interest in Offeror, please identify the legislator:
List below the name(s) of any University or New Mexico employee, Regent or close relative who now or within the preceding 12 months (1) works for the Offeror; (2) has an ownership interest in the Offeror (other than as an owner of less than 1% of Offeror’s stock, if Offeror is a publicly traded corporation); (3) is a partner, officer, director, trustee or consultant to the Offeror; (4) has received grant, travel, honoraria or other similar support from Offeror; or (5) has a right to receive royalties from the Offeror.

DEBARMENT/SUSPENSION STATUS
The Offeror certifies that it is not suspended, debarred or ineligible from entering into contracts with the Executive Branch of the Federal Government, or in receipt of a notice or proposed debarment from any Agency. The Offeror agrees to provide immediate notice to The University of New Mexico Hospital and UNM Sandoval Regional Medical Center’s Purchasing Department Buyer in the event of being suspended, debarred or declared ineligible by any department or federal agency, or upon receipt of a notice of proposed debarment that is received after the submission of the IFB or offer but prior to the award of the purchase order or contract.

CERTIFICATION
The undersigned hereby certifies that he/she has read the above CONFLICT OF INTEREST and DEBARMENT/SUSPENSION Status requirements and that he/she understands and will comply with these requirements. The undersigned further certifies that they have the authority to certify compliance for the Offeror named and that the information contained in this document is true and accurate to the best of their knowledge.

Signature: __________________________ Title: __________________________ Date: __________________________
Name Typed: __________________________ Company Name: __________________________
Address: __________________________ City/State/zip: __________________________

THE FOLLOWING MUST BE CERTIFIED IF THIS PURCHASE ORDER IS $100,000 OR GREATER:
CERTIFICATION AND DISCLOSURE REGARDING PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS (September, 2005)

(a) In accordance with FAR 52.203-11, the definitions and prohibitions contained in the clause at FAR 52.203-12, Limitation on Payments to influence Certain Federal Transactions, included in this solicitation, are hereby incorporated by reference in paragraph (b) of this certification.

(b) The Offeror, by signing its offer, hereby certifies to the best of his or her knowledge and belief that on or after December 23, 1989:
1) No Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with the awarding of any Federal contract.
2) If any funds other than Federal appropriated funds (including profit or fee received under a covered Federal Transaction) have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with this solicitation, the Offeror shall complete and submit, with its offer, OMB standard form LLL, Disclosure of Lobbying Activities, to the Contracting Officer;
3) He or she will include the language of this certification in all subcontract awards at any tier and require that all recipients of subcontract awards in excess of $100,000 shall certify and disclose accordingly.

(c) Submission of this certification and disclosure is a prerequisite for making or entering into this contract imposed by section 1352, title 31, United States Code. Any person who makes expenditure prohibited under this provision or who fails to file or amend the disclosure form to be filed or amended by this provision shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

CLEAN AIR ACT AND FEDERAL WATER POLLUTION CONTROL ACT
The undersigned company agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401 et seq.) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251 et seq.)

CERTIFICATION
The undersigned hereby certifies that he/she has read the above CERTIFICATION AND DISCLOSURE REGARDING PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTION (APR 1991) and CLEAN AIR ACT AND FEDERAL WATER POLLUTION CONTROL ACT requirements and that he/she understands and will comply with these requirements. The undersigned further certifies that they have the authority to certify compliance for the Offeror named below.

Signature: __________________________ Title: __________________________ Date: __________________________
Name Typed: __________________________ Company: __________________________
Address: __________________________ City/State/zip: __________________________

33
EXHIBIT E
INSURANCE REQUIREMENTS

CERTIFICATES OF INSURANCE: The Offeror shall furnish the Owner one copy each of Certificates of insurance herein required for each copy of the Agreement showing coverage, limits of liability, covered operations, effective dates of expiration of policies of insurance carried by the Offeror. The Offeror shall furnish to the Owner copies of limits. The Certificate of Insurance shall be in the form of AIA Document G-705 or similar format acceptable to the Owner. Such certificates shall be filed with the Owner and shall also contain the following statements:

1. “The Regents of The University of New Mexico Hospital and UNM Sandoval Regional Medical Center s, The University of New Mexico Hospital and UNM Sandoval Regional Medical Center s, its agents, servants and employee are held as additional insured.”
2. “The insurance coverage certified herein shall not be canceled or materially changed except after forty five (45) days written notice has been provided to the owner.”

COMPENSATION INSURANCE:
The Offeror shall procure and shall maintain during the life of this contract Worker’s Compensation as required by applicable State law for all Offeror’s employees to be engaged at the site of the project under this project and in case of any such work sublet the Offeror shall require the subOfferor or sub subOfferor similarly to provide Worker’s Compensation Insurance for all the subOfferor’s or sub subOfferor’s Workers which are covered under the Offeror’s Worker’s Compensation Insurance. In case any class of employee engaged in work on the project under this contract is not protected under a Worker’s Compensation Status, the Offeror shall provide and shall cause each subOfferor or sub subOfferor to provide Employer’s insurance in any amount of not less than $500,000.

OFFEROR’S PUBLIC LIABILITY INSURANCE:
The Offeror shall maintain liability insurance coverage “equal to the maximum liability amounts set forth in the New Mexico Tort Claims Act Section 41-4-1 Et.Seq. NMSA 1978.” The insurance must remain in force for the life of the contract including all contract extensions or renewals. The limits effective July 1, 1992 are:

$400,000 per person/$750,000 per occurrence plus $300,000 for medical and $200,000 for property damage for a total maximum of $1,250,000 per occurrence.

OFFEROR’S VEHICLE LIABILITY INSURANCE:
The Offeror shall procure and shall maintain during the life of this contract Vehicle Liability Insurance coverage “equal to the maximum liability amounts set forth in the New Mexico Tort Claims Act Section 41-4-1 Et.Seq. NMSA 1978.” The insurance must remain in force for the life of the contract including all contract extensions or renewals. The limits effective July 1, 1992 are:

Bodily Injury $750,000 Each Occurrence
Property Damage $200,000 Each Occurrence

SUBOFFEROR’S AND SUB OFFEROR’S PUBLIC AND VEHICLE LIABILITY INSURANCE:
The Offeror shall either:

1. Require each subOfferor or sub Offeror to procure and maintain during the life of the subcontract or sub subcontract public Liability Insurance of the types and amounts specified above or,
2. Insure the activities of the subOfferors of sub subOfferors in the Offeror’s Policy as required under this Article.

GENERAL: All Insurance policies are to be issued by companies authorized to do business under the laws of the state in which work is to be done and acceptable to owner. The Offeror shall not violate, permit to be violated, any conditions of any said policies, and shall at all times satisfy the requirements for the insurance companies writing said policies.
EXHIBIT G
INFORMATION SYSTEMS SECURITY PLAN INFORMATION

UNMH AND UNM SRMC Information Security Plans are to be developed and documented for IT systems, as per the UNM Hospitals’ Information Technology Security Procedures. This template is to be used as a guide in developing individual security plans for new and changing application and infrastructure systems. All projects must also be placed into the Online Request System (ORS) for project prioritization, development and resource review. Purchases, Contracts and Implementation of new IT assets will not move forward without the completion of an IT Security Plan.

- Note to our vendors: your equipment, applications, databases, etc. end up on our environment. All of these must be reviewed for proper resources, security, backup, etc. You must work with the team or project leader to complete the questions below for the most effective and timely implementation.
- The IT Security Plan answers start with the data flow diagram. Without an understanding how the system works and where the application, system or database resides and how the users and support access and support the system is very difficult to answer the following questions.

Important: Start this effort by creating a Visio or other graphical workflow of the system. Include workstation or other device where information is created or accessed mapping through appropriate network areas, include the server/database/application and then diagram return paths if applicable. Finally, map the backup and recovery processes.

A security plan should include at minimum a description of the security processes for the system, access and confidentiality requirements and restrictions, security administration processes, data classification designations, legal requirements for security and privacy, training, security testing, infrastructure security components, roles & responsibilities for security functions, physical security, and back up and disaster recovery requirements. The Security Plan should describe the security needs and processes for the ‘Life Cycle Support’ of the system.

The Security Plan will be initiated in the early phases (business analysis and requirements) of a project, and completed before the system is migrated to production. This template will be used to document security plans upgrades to current systems as well as for current systems, where such documentation does not exist.

Please complete all sections of the plan. To view this exhibit please visit RFP P351-16: http://hospitals.unm.edu/about/proposals_2016.shtml

Contact the IT Security Office with questions at 505-272-3282.
EXHIBIT H

CERTIFICATION AND DISCLOSURE REGARDING PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS (APRIL 1991)

1. The definitions and prohibitions contained in the clause, at FAR 52.203-12, Limitation on Payments to influence Certain Federal Transactions, included in this solicitation, are hereby incorporated by reference in paragraph (b) of this certification.

2. The Offeror, by signing its offer, hereby certifies to the best of his or her knowledge and belief that on or after December 23, 1989:
   a. Federal appropriated funds have not been paid and will not be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement;
   b. If any funds other than Federal appropriated funds (including profit or fee received under a covered Federal Transaction) have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with this solicitation, the Offeror shall complete and submit, with its offer, OMB standard form LLL, Disclosure of Lobbying Activities, to the Contracting Officer; and He or she will include the language of this certification in all subcontract awards at any tier and require that all recipients of subcontract awards in excess of $100,000 shall certify and disclose accordingly.
   c. Submission of this certification and disclosure is a prerequisite for making or entering into this contract imposed by section 1352, title 31, United States Code. Any person who makes expenditure prohibited under this provision or who fails to file or amend the disclosure form to be filed or amended by this provision shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

1.1.1 CERTIFICATION
The undersigned hereby certifies that he/she has read the above CERTIFICATION AND DISCLOSURE REGARDING PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTION (APR 1991) requirements and that he/she understands and will comply with these requirements. The undersigned further certifies that they have the authority to certify compliance for the Offeror named below.

Signature: __________________________ Title: __________________________ Date: ________

Name Typed: __________________________ Company: __________________________

Address: ___________________________ City/State/zip: ___________________________
EXHIBIT I
BUSINESS ASSOCIATE ADDENDUM

This Business Associate Addendum (this “Addendum”) is entered into between the Regents of the University of New Mexico, for its public operation known as the UNM Health Sciences, UNM Sandoval Regional Medical Center, Inc., a New Mexico non-profit and University Research Park and Economic Development Act Corporation Center, (referred to in this Addendum as the “Covered Entity”) and _____________________________ (referred to in this Addendum as the “Business Associate”). The “Effective Date” of this Addendum shall be the Effective Date of the Underlying Agreement, as defined below.

I. RECITALS

A. Under the agreement between the parties to which this Addendum is attached (the “Underlying Agreement”), Business Associate is receiving from, or creating or receiving, or maintaining or transmitting on behalf of, Covered Entity, certain data that would constitute “protected health information” within the meaning of the Standards for Privacy of Individually Identifiable Health Information and as further defined below (the “Privacy Rule”).

B. The Parties are committed to complying with the Privacy Rule and the Standards for Security of Electronic Protected Health Information (the “Security Rule”) in accordance with the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 (“HIPAA”), the Health Information Technology for Economic and Clinical Health (“HITECH”) Act, Title XIII of Division A and Division B of the American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5 (Feb. 17, 2009) and related regulations, the HIPAA Privacy Rule, 45 C.F.R. Parts 160 and 164, as amended, the HIPAA Security Rule, 45 C.F.R. Parts 160, 162 and 164, as amended, and other relevant laws, including subsequently adopted provisions applicable to use and disclosure of confidential information, and applicable agency guidance.

C. This Addendum, in conjunction with the Privacy and Security Rules and the U.S. Department of Health and Human Services’ final rule, effective March 26, 2013, modifying HIPAA and the Privacy and Security Rules, sets forth the terms and conditions pursuant to which PHI (electronic and non-electronic) that is created, received, maintained, or transmitted by, the Business Associate from or on behalf of Covered Entity, will be handled between the Business Associate and Covered Entity and with third parties during the term of their Underlying Agreement and after its termination.

D. Business Associate hereby acknowledges and agrees that Covered Entity is a Covered Entity and that Business Associate is a Business Associate of Covered Entity.
The Parties agree as follows:

II. **PERMITTED USES AND DISCLOSURES OF PHI**

A. **Services.** Pursuant to the Underlying Agreement, Business Associate provides services ("Services") for Covered Entity that involve the receipt, use and disclosure of PHI. Except as otherwise specified herein, the Business Associate may make any and all uses of PHI necessary to perform its obligations under the Underlying Agreement. All other uses not authorized by this Addendum are prohibited. Moreover, Business Associate may disclose PHI for the purposes authorized by this Addendum only: (i) to its employees, subcontractors and agents, in accordance with Section III.A.7, or (ii) as otherwise permitted by or as required by the Privacy or Security Rule.

B. **Business Activities of the Business Associate.** Unless otherwise limited herein and if such use or disclosure of PHI would not violate the Privacy or Security Rules if done by the Covered Entity, the Business Associate may:

1. Use the PHI in its possession for its proper management and administration and to fulfill any present or future legal responsibilities of the Business Associate provided that such uses are permitted under state and federal confidentiality laws;

2. Disclose the PHI in its possession to third parties for the purpose of its proper management and administration or to fulfill any present or future legal responsibilities of the Business Associate, provided that the Business Associate represents to Covered Entity, in writing, that (i) the disclosures are required by law, as defined within 45 C.F.R. §164.501; or (ii) the Business Associate has received from the third party written assurances regarding its confidential handling of such PHI as required under 45 C.F.R. §164.504(e)(4) and §164.314, and the third party notifies the Business Associate of any instances of which it is aware in which the confidentiality of the information has been breached; and

3. Business Associate may provide data aggregation services relating to the health care operations of the Covered Entity.

III. **RESPONSIBILITIES OF THE PARTIES WITH RESPECT TO PHI**

A. **Responsibilities of the Business Associate.** With regard to its use and/or disclosure of PHI, the Business Associate hereby agrees to do the following:

1. Not use or further disclose PHI other than as permitted or required by this Addendum, or the Underlying Agreement;
2. Not, without the prior written consent of Covered Entity, disclose any PHI on the basis that such disclosure is required by law without notifying Covered Entity so that Covered Entity shall have an opportunity to object to the disclosure and to seek appropriate relief. If Covered Entity objects to such disclosure, Business Associate shall refrain from disclosing the PHI until Covered Entity has exhausted all alternatives for relief. Business Associate shall require reasonable assurances from persons receiving PHI in accordance with Section II.B.2 hereof that such persons will provide Covered Entity with similar notice and opportunity to object before disclosing PHI on the basis that such disclosure is required by law;

3. Ensure the confidentiality, integrity, and availability of all electronic PHI created, received, maintained, or transmitted;

4. Use reasonable and appropriate safeguards to prevent the unauthorized use or disclosure of PHI other than pursuant to the terms and conditions of this Addendum, and comply with Subpart C of 45 C.F.R. Part 164 with respect to electronic PHI, to prevent use or disclosure of PHI other than as provided for by this Addendum;

5. Use appropriate administrative, physical and technical safeguards consistent with the HIPAA Security Rule that reasonably and appropriately protect the confidentiality, integrity, and availability of any Electronic PHI in accordance with the HIPAA Security Rule and the HITECH Standards;

6. Report promptly, in writing, to Covered Entity, but in no event later than within two (2) days of which it becomes aware any use or disclosure of PHI not provided for by the Agreement, including breaches of unsecured PHI as required at 45 C.F.R.§164.410, and any Security Incident of which it becomes aware, and cooperate with the Covered Entity in any mitigation or breach reporting efforts;

7. In accordance with 45 C.F.R. §§164.502(e)(1)(ii) and 164.308(b)(2), if applicable, to ensure that any agents, including subcontractors, that create, receive, maintain, or transmit PHI on behalf of the Business Associate agree in writing to the same restrictions, conditions, and requirements that apply to the Business Associate with respect to such information; provided, however, that Business Associate shall not disclose or provide access to PHI to any subcontractor or agent without the prior written consent of Covered Entity;

8. Ensure that any agent or subcontractor to whom the Business Associate provides PHI, as well as Business Associate, not export PHI beyond the borders of the United States of America;
9. Have procedures in place to mitigate, to the maximum extent practicable, any deleterious effect from any use or disclosure of PHI in violation of this Addendum or applicable law;

10. Have and apply appropriate sanctions against any workforce member, subcontractor or agent who uses or discloses PHI in violation of this Addendum or applicable law;

11. Within five (5) business days’ request of Covered Entity, make available PHI in a designated record set, if applicable, to Covered Entity, as necessary to satisfy Covered Entity’s obligations under 45 C.F.R. §164.524;

12. Within five (5) business days, make any amendment(s) to PHI, if applicable, in a designated record set as directed or agreed to by the Covered Entity pursuant to 45 C.F.R. §164.526, or take other measures as necessary to satisfy Covered Entity’s obligations under 45 C.F.R. §164.526;

13. As applicable, maintain and make available the information required to provide an accounting of disclosures as necessary to satisfy Covered Entity’s obligations under 45 C.F.R. §164.528;

14. To the extent the Business Associate is to carry out one or more of Covered Entity's obligation(s) under Subpart E of 45 C.F.R. Part 164, comply with the requirements of Subpart E that apply to the Covered Entity in the performance of such obligation(s);

15. Upon request, make its internal practices, books, and records available to the Secretary and to the Covered Entity for purposes of determining compliance with the HIPAA Rules; and

16. Comply with minimum necessary requirements under the HIPAA Rules.

B. Responsibilities of Covered Entity. With regard to the use and/or disclosure of PHI by the Business Associate, Covered Entity hereby agrees to do the following:

1. Inform the Business Associate of any limitations in the form of notice of privacy practices that Covered Entity provides to individuals pursuant to 45 C.F.R. §164.520, to the extent that such limitation may affect Business Associate’s use or disclosure of PHI.

2. Inform the Business Associate of any changes in, or revocation of, the permission by an individual to use or disclose PHI, to the extent that such limitation may affect Business Associate’s use or disclosure of PHI.

3. Notify the Business Associate, in writing and in a timely manner, of any restriction on the use or disclosure of PHI that Covered Entity has agreed to or is required to abide by under 45 C.F.R. §164.522, to the extent that such
restriction may impact in any manner the use and/or disclosure of PHI by the Business Associate under this Addendum, except if the Business Associate will use or disclose PHI for (and the Underlying Agreement includes provisions for) data aggregation or management and administration and legal responsibilities of the Business Associate, Covered Entity will not request Business Associate to use or disclose PHI in any manner that would not be permissible under the Privacy and Security Rule if done by the Covered Entity.

IV. REPRESENTATIONS

A. Mutual Representations of the Parties. Each party represents to the other party:

1. That all of its employees and members of its workforce, whose services may be used to fulfill obligations under this Addendum or the Underlying Agreement are or shall be appropriately informed of the terms of this Addendum and are under legal obligation to each party, respectively, by contract or otherwise, sufficient to enable each party to fully comply with all provisions of this Addendum including, without limitation, the requirement that modifications or limitations that Business Associate has agreed to adhere to with regard to the use and disclosure of PHI of any individual that materially affects and/or limits the uses and disclosures that are otherwise permitted under the Standard will be communicated to the Business Associate, in writing, and in a timely fashion.

2. That it will reasonably cooperate with the other party in the performance of the mutual obligations under this Addendum.

3. That neither the party, nor its directors, regents, officers, agents, employees or members of its workforce have been excluded or served a notice of exclusion or have been served with a notice of proposed exclusion, or have committed any acts which are cause for exclusion, from participation in, or had any sanctions, or civil or criminal penalties imposed under, any federal or state healthcare program, including but not limited to Medicare or Medicaid, or have been convicted, under federal or state law (including without limitation a plea of nolo contendere or participation in a first offender deterred adjudication or other arrangement whereby a judgment of conviction has been withheld), of a criminal offense related to (a) the neglect or abuse of a patient, (b) the delivery of an item or service, including the performance of management or administrative services related to the delivery of an item or service, under a federal or state healthcare program, (c) fraud, theft, embezzlement, breach of fiduciary responsibility, or other financial misconduct in connection with the delivery of a healthcare item or service or with respect to any act or omission in any program operated by or financed in whole or in part by any federal, state or local government agency, (d) the unlawful, manufacture, distribution, prescription or dispensing of a controlled
substance, or (e) interference with or obstruction of any investigation into any criminal offense.

4. That it will notify the other party immediately after it becomes aware that any of the foregoing representations may be inaccurate or may become inaccurate.

V. TERM AND TERMINATION

A. Term. The term of this Addendum shall commence on the Effective Date, and shall terminate on the termination date of the relevant Underlying Agreement or on the date Covered Entity terminates this Addendum for cause as authorized in Section 4.2, whichever is sooner.

B. Termination for Cause. Business Associate authorizes termination of this Addendum by Covered Entity, if Covered Entity determines Business Associate has violated a material term of this Addendum and Business Associate has not cured the breach or ended the violation within the time specified by Covered Entity.

C. Obligations of Business Associate upon Termination. Business Associate agrees to return or destroy all PHI pursuant to 45 C.F.R. §164.504(e)(2)(J). Prior to doing so, the Business Associate further agrees to recover any PHI in the possession of its subcontractors or agents. If it is not feasible for the Business Associate to return or destroy said PHI, the Business Associate will notify Covered Entity in writing and the Covered Entity may disagree with the Business Associate’s determination. Said notification shall include: (i) a statement that the Business Associate has determined that it is not feasible to return or destroy the PHI in its possession, and (ii) the specific reasons for such determination. Business Associate further agrees to extend any and all protections, limitations and restrictions contained in this Addendum to the Business Associate’s use and/or disclosure of any PHI retained after the termination of this Addendum, and to limit any further uses and/or disclosures to the purposes that make the return or destruction of the PHI infeasible. If it is infeasible for the Business Associate to obtain, from a subcontractor or agent any PHI in the possession of the subcontractor or agent, the Business Associate must provide a written explanation to Covered Entity and require the subcontractors and agents to agree to extend any and all protections, limitations and restrictions contained in this Addendum to the subcontractors’ and/or agents’ use and/or disclosure of any PHI retained after the termination of this Addendum, and to limit any further uses and/or disclosures to the purposes that make the return or destruction of the PHI infeasible.

D. Automatic Termination. This Addendum will automatically terminate without any further action of the parties upon the termination or expiration of the Underlying Agreement.
VI. CONFIDENTIALITY

A. Confidentiality Obligations. In the course of performing under this Addendum, each party may receive, be exposed to or acquire the Confidential Information including but not limited to, all information, data, reports, records, summaries, tables and studies, whether written or oral, fixed in hard copy or contained in any computer data base or computer readable form, as well as any information identified as confidential (“Confidential Information”) of the other party. For purposes of this Addendum, “Confidential Information” shall not include PHI, the security of which is the subject of this Addendum and is provided for elsewhere. The parties including their employees, agents or representatives (i) shall not disclose to any third party the Confidential Information of the other party except as otherwise permitted by this Addendum or as required by law including, without limitation, the New Mexico Inspection of Public Records Act, Section 14-2-1 et seq. NMSA 1978, as amended, (ii) only permit use of such Confidential Information by employees, agents and representatives having a need to know in connection with performance under this Addendum, and (iii) advise each of their employees, agents, and representatives of their obligations to keep such Confidential Information confidential. Notwithstanding anything to the contrary herein, each party shall be free to use, for its own business purposes, any ideas, suggestions, concepts, know-how or techniques contained in information received from each other that directly relates to the performance under this Addendum. This provision shall not apply to Confidential Information: (a) after it becomes publicly available through no fault of either party; (b) which is later publicly released by either party in writing; (c) which is lawfully obtained from third parties without restriction; or (d) which can be shown to be previously known or developed by either party independently of the other party.

VII. INSURANCE, LIABILITY, AND INDEMNIFICATION

A. Insurance. Business Associate will procure and maintain in effect during the term of this Addendum: (1) general liability insurance coverage with minimum limits of $1 million per occurrence and $3 million aggregate; and (2) as applicable, professional liability insurance coverage within minimum limits of $1 million per occurrence and $3 million in aggregate; and (3) workers’ compensation insurance coverage within statutory limits of the state in which Business Associate is located. Upon request, Business Associate shall provide evidence of continuous coverage to Covered Entity.

B. Liability. As between the parties, subject to Section VII.C of this Addendum, each party acknowledges that it will be responsible for claims or damages arising from personal injury or damage to persons or property to the extent they result from negligence of that party’s employees. Business Associate understands that Covered Entity is not indemnifying Business Associate for the acts or omissions to act of Covered Entity or its employees. The liability of Covered Entity will be subject in all cases to the immunities and limitations of the New Mexico Tort Claims Act, Sections 41-4-1 et seq. NMSA 1978, as amended.
C. **Indemnification.** The Business Associate agrees to indemnify, defend and hold harmless Covered Entity and Covered Entity’s employees, directors, officers, subcontractors, agents or other members of its workforce from any costs, damages, expenses, judgments, losses, attorneys’ fees, and all liability to third parties arising from or in connection with any breach of this Agreement or of any warranty hereunder by Business Associate, or arising from any negligent or wrongful acts or omissions of Business Associate, including failure to perform its obligations under the Privacy Regulations, the Security Regulations, the HITECH Act. Accordingly, on demand, Business Associate shall reimburse Covered Entity for any and all actual and direct losses, liabilities, fines, penalties, costs or expenses (including reasonable attorneys’ fees) which may for any reason be imposed upon Covered Entity by reason of any suit, claim, action, proceeding or demand by any third party which results from Business Associate's breach hereunder. The Business Associate’s indemnification obligation shall survive the expiration or termination of this Agreement for any reason.

D. **LIMITATION OF LIABILITY.** THE PARTIES UNDERSTAND, ACKNOWLEDGE, AND AGREE THAT NEITHER PARTY SHALL BE LIABLE TO THE OTHER PARTY FOR ANY INCIDENTAL, CONSEQUENTIAL, SPECIAL, OR PUNITIVE DAMAGES OF ANY KIND OR NATURE, WHETHER SUCH LIABILITY IS ASSERTED ON THE BASIS OF CONTRACT, TORT (INCLUDING NEGLIGENCE OR STRICT LIABILITY), OR OTHERWISE, EVEN IF THE OTHER PARTY HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH LOSS OR DAMAGES.

VIII. **MISCELLANEOUS**

A. **Business Associate.** For purposes of this Addendum, Business Associate shall include the named Business Associate herein. However, in the event that the Business Associate is otherwise a Covered Entity under the Privacy or Security Rule, that entity may appropriately designate a health care component of the entity, pursuant to 45 C.F.R. §164.504(a), as the Business Associate for purposes of this Addendum.

B. **Survival.** The respective rights and obligations of Business Associate and Covered Entity under this Addendum, shall survive termination of this Addendum indefinitely.

C. **Amendments; Waiver.** This Addendum may not be modified, nor shall any provision hereof be waived or amended, except in a writing duly signed by authorized representatives of the parties. A waiver with respect to one event shall not be construed as continuing, or as a bar to or waiver of any right or remedy as to subsequent events. The parties agree to take such action as is necessary to amend this Addendum from time to time as is necessary for compliance with the requirements of the HIPAA Rules and any other applicable law.
D. **Interpretation.** Any ambiguity in this Addendum shall be interpreted to permit compliance with the HIPAA Rules.

E. **Changes in Law.** The parties recognize that this Addendum is at all times subject to applicable state, local, and federal laws. The parties further recognize that this Addendum may become subject to amendments in such laws and regulations and to new legislation. Any provisions of law that invalidate, or are otherwise inconsistent with, the material terms and conditions of this Addendum, or that would cause one or both of the parties hereto to be in violation of law(s), shall be deemed to have superseded the terms of this Addendum and, in such event, the parties agree to utilize their best efforts to modify the terms and conditions of this Addendum to be consistent with the requirements of such law(s). In order to effectuate the purposes and intent of this Addendum the parties will set forth an executed written agreement within thirty (30) days of receipt of notice from one party to the other party setting forth the proposed changes, then either party may, by giving the other an additional sixty (60) days written notice, terminate this Addendum, unless this Addendum would terminate earlier by its terms. In the event amendments or changes in existing law(s), general instructions, or new legislation, rules, regulations, or decisional law preclude or substantially preclude a contractual relationship between the parties similar to that expressed in this Addendum, then, under such circumstances, where renegotiation of the applicable terms of this Addendum would be futile, either party may provide the other at least sixty (60) days advance written notice of termination of this Addendum, unless this Addendum would terminate earlier by its terms. Upon termination of this Addendum as hereinabove provided, neither party shall have any further obligation hereunder except for (i) obligations occurring prior to the date of termination, and (ii) obligations, promises or covenants contained herein which are expressly made and intended to extend beyond the term of this Addendum.

F. **Construction of Terms.** The terms of this Addendum shall be construed in light of any applicable interpretation or guidance on HIPAA and/or the Privacy Rule issued by the U.S. Department of Health and Human Services of the Office for Civil Rights from time to time.

G. **Contradictory Terms.** Any provision of the Underlying Agreement that is directly contradictory to one or more terms of this Addendum (“**Contradictory Term**”) shall be superceded by the terms of this Addendum as of the Effective Date of this Addendum to the extent and only to the extent of the contradiction, only for the purpose of the Covered Entity’s compliance with the Privacy Rule and only to the extent that it is reasonably impossible to comply with both the Contradictory Term and the terms of this Addendum.

IX. **DEFINITIONS.**

The following terms used in this Addendum shall have the same meaning as those terms in the HIPAA Rules: Breach, Data Aggregation, Designated Record Set, Health Care Operations,
Individual, Minimum Necessary, Notice of Privacy Practices, Protected Health Information ("PHI"), Required By Law, Secretary, Security Incident, Subcontractor, Unsecured Protected Health Information, and Use. Specific definitions include:

A. **Business Associate.** “Business Associate” shall generally have the same meaning as the term “business associate” at 45 C.F.R. §160.103, and in reference to the party to this Addendum.

B. **Covered Entity.** “Covered Entity” shall generally have the same meaning as the term “Covered Entity” at 45 C.F.R. §160.103, and in reference to the party to this Addendum.

C. **Disclosure.** “Disclosure” shall mean the release, transfer, provision of access to, or divulging in any manner of information outside the entity holding the information.

D. **Electronic Protected Health Information.** “Electronic Protected Health Information” means Protected Health Information that is created, received, maintained, or transmitted by Electronic Media as defined at 45 C.F.R. §160.103.


F. **HITECH Standards.** “HITECH Standards” shall mean the privacy, security, and Breach notification provisions applicable to a Business Associate under Subtitle D of the Health Information Technology for Economic and Clinical Health Act ("HITECH") Act, which is Title XIII of the American Recover and Reinvestment Act of 2009 (Public Law 111-5), and any regulations promulgated.

G. **Privacy Rule.** “Privacy Rule” shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 C.F.R. Parts 160 and 164, Subpart A and Subpart E, as amended.

H. **Protected Health Information or “PHI”.** “Protected Health Information or PHI” shall mean any information, transmitted 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 that information can be used to identify the individual, and shall have the meaning given to such term under HIPAA, the HITECH Act and related regulations and agency guidance. Protected health information excludes individually identifiable health information: (i) in education records covered by the Family Educational Rights and Privacy Act, as amended, 20 U.S.C. 1232g; (ii) in records described at 20 U.S.C. 1232g(a)(4)(B)(iv); (iii) in employment records held by a covered entity in its role as employer; and (iv) regarding a person who has been deceased for more than 50 years.
I. **Security Incident.** “Security Incident” means the attempted or successful unauthorized access, use, disclosure, modification, or destruction of information or interference with system operations in an information system.


K. A reference in this Addendum to a section in the [HIPAA Rules](https://www.hhs.gov/hipaa/index.html) means the section as in effect or as amended.

L. Any terms capitalized, but not otherwise defined, in this Addendum shall have the same meaning as those terms have under HIPAA, the HIPAA Privacy Regulations, the HIPAA Security Regulations, and the HITECH Standards.

**CONTRACTOR:**

By: ______________________________________

Printed Name: _________________________________________

Title: _________________________________________

**REGENTS OF UNIVERSITY OF NEW MEXICO, FOR UNM HOSPITALS:**

By: _________________________________________

Printed Name: Jeffrey Gilmore

Title: Director- Purchasing