

## REQUEST FOR PROPOSAL

### RFP COVER SHEET

<b>RFP Number</b>	RFP1722131007	<b>Title of RFP</b>	Rehabilitation and Independent Living Case Management System (CMS)	
<b>Agency</b>	Iowa Department of Administrative Services on behalf of the Iowa Department for the Blind			
<b>Number of years of the initial term of the contract</b>		1	<b>Number of possible annual extensions</b>	
<b>Available to Political Subdivisions?</b>		No		
<b>Available to other State agencies?</b>		Yes		
<b>State Issuing Officer:</b> Laura Shannon Phone: 515-725-7325 Fax: 515-725-0038 E-mail: laura.shannon@iowa.gov				
<b>PROCUREMENT TIMETABLE—Event or Action</b>			<b>Date/Time (Central Time)</b>	
State Posts Notice of RFP on the TSB website			June 16, 2022	
State Issues RFP			June 20, 2022	
RFP written questions, requests for clarification, and suggested changes from Respondents due			July 7, 2022 @ 2:00 p.m. CT	
Follow-up RFP written questions, requests for clarification, and suggested changes from Respondents due (no questions accepted or responded to after this date)			July 20, 2022 @ 2:00 p.m. CT	
Proposals Due			<b>August 3, 2022 @ 2:00 p.m. CT</b>	
Internet website where Addenda to this RFP will be posted <a href="http://bidopportunities.iowa.gov">http://bidopportunities.iowa.gov</a> and <a href="https://bids.sciquest.com/apps/Router/PublicEvent?CustomerOrg=DASIowa">https://bids.sciquest.com/apps/Router/PublicEvent?CustomerOrg=DASIowa</a>				
Internet websites where contract terms and conditions are posted: Services: <a href="https://das.iowa.gov/sites/default/files/procurement/pdf/050116%20terms%20services.pdf">https://das.iowa.gov/sites/default/files/procurement/pdf/050116%20terms%20services.pdf</a> Goods: <a href="https://das.iowa.gov/sites/default/files/procurement/pdf/050116%20terms%20goods.pdf">https://das.iowa.gov/sites/default/files/procurement/pdf/050116%20terms%20goods.pdf</a> Additional IT Terms & Conditions are found in Attachment #5: <a href="#">Page 40</a>				
Section 1 – Introduction & Definitions: <a href="#">Page 2</a> Section 2 - Administrative Information: <a href="#">Page 5</a> Section 3 – Form, Content, Exhibits: <a href="#">Page 12</a> Section 4 – Specifications: <a href="#">Page 22</a> Section 5 – Evaluation & Selection: <a href="#">Page 24</a> Section 6 – Contract Terms & Conditions: <a href="#">Page 26</a> <b>Insurance, Administration Fee &amp; Additional Requirements:</b> <a href="#">Page 30</a> Attachment #1 Certification Letter: <a href="#">Page 33</a> Attachment #2 Authorization to Release Information Letter: <a href="#">Page 35</a> Attachment #3 Form 22 Request for Confidentiality: <a href="#">Page 36</a> Attachment #4 Response Check List: <a href="#">Page 39</a> Attachment #5 Additional IT Terms & Conditions: <a href="#">Page 40</a>				
<b>Firm Proposal Terms</b> The minimum number of days following the deadline for submitting proposals that the Respondent guarantees all proposal terms, including price, will remain firm is 120 Days.				

## SECTION 1 INTRODUCTION

### 1.1 Purpose

The purpose of this Request for Proposals (RFP) is to solicit proposals from qualified service providers to provide the Iowa Department for the Blind an on-premises Vocational Rehabilitation and Independent Living Case Management System (CMS). The Case Management System must meet the requirements specified in Section 4 of this document. The Agency intends to award a Contract(s) for the initial period identified on the RFP cover sheet, and the Agency, in its sole discretion, may extend the Contract(s) for up to the number of annual extensions identified on the RFP cover sheet.

### 1.2 Definitions

For the purposes of this RFP and the resulting contract, the following terms shall mean:

**“Agency”** means the agency identified on the RFP cover sheet that is issuing the RFP and any other agency that purchases from the Contract.

**“Case Management System”** is a digital system that tracks and stores information in a centralized location and reports on the data. Case information is accessible to a variety of users so that stakeholders can collaborate on cases and share information in a secure environment.

**“Contract”** means the contract(s) entered into with the successful Respondent(s) as described in Section 6.1.

**“Contractor”** means the awarded business/person to provide the contractual services agreed upon.

**“Deliverable”** means the completion of a milestone or accomplishment of a task.

**“Equivalent Access”** means the ability to receive, use and manipulate information and operate controls necessary to access and use information technology by non-visual means. Examples of equivalent access include keyboard controls used for input and synthesized speech, refreshable braille, and other access technology.

**“General Terms and Conditions”** means the General Terms and Conditions for Services Contracts as referenced on the RFP cover page.

**“Proposal”** means the Respondent’s proposal submitted in response to the RFP.

**“Respondent”** means the company, organization or other business entity submitting a proposal in response to this RFP.

**“Responsible Respondent”** means a Respondent that has the capability in all material respects to perform the scope of work and specifications of the Contract. In determining whether a

Respondent is a Responsible Respondent, the Agency may consider various factors including, but not limited to, the Respondent's competence and qualifications to provide the goods or services requested, the Respondent's integrity and reliability, the past performance of the Respondent and the best interest of the Agency and the State.

**"Responsive Proposal"** means a Proposal that complies with the material provisions of this RFP.

**"RFP"** means this Request for Proposals and any attachments, exhibits, schedules or addenda hereto.

**"Section 508"** – Link: <https://www.section508.gov/> In 1998, Congress amended the Rehabilitation Act of 1973 to require Federal agencies to make their electronic and information technology (EIT) accessible to people with disabilities. Inaccessible technology interferes with an ability to obtain and use information quickly and easily. Section 508 was enacted to eliminate barriers in information technology, open new opportunities for people with disabilities, and encourage development of technologies that will help achieve these goals. The law applies to all Federal agencies when they develop, procure, maintain, or use electronic and information technology. Under Section 508 (29 U.S.C. '794 d), agencies must give disabled employees and members of the public access to information that is comparable to access available to others.

**"State"** means the State of Iowa, the Agency, and all state agencies, boards, and commissions, and any political subdivisions making purchases from the Contract as permitted by this RFP.

**"WCAG 2.2 AA standards"** Link: <https://www.w3.org/TR/WCAG22/>

### 1.3 Overview of the RFP Process

This RFP is designed to provide Respondents with the information necessary for the preparation of competitive Proposals. The RFP process is for the Agency's benefit and is intended to provide the Agency with competitive information to assist in the selection process. It is not intended to be comprehensive. Each Respondent is responsible for determining all factors necessary for the submission of a comprehensive Proposal.

**Respondent should review Attachment 3, Form 22 Request for Confidentiality, for more information if its Proposal contains confidential information. Any Proposal marked "Confidential" or "Proprietary" on every page may be disqualified.**

Respondents will be required to submit their Proposals in hardcopy and on digital media (USB drive). It is the Agency's intention to evaluate Proposals from all Respondents that submit timely Responsive Proposals, and award the Contract(s) in accordance with Section 5, Evaluation and Selection.

### 1.4 Background

Link to the Iowa Department for the Blind: <https://blind.iowa.gov/>

The Iowa Department for the Blind helps educate, train and empower blind and low vision individuals to pursue lifelong goals. With offices in Des Moines and field staff operating statewide, the Department is committed to three goals:

- To improve skills so the blind and low vision may obtain or retain competitive employment throughout Iowa.

- To increase confidence and independence in all aspects of daily life.
- To improve access to information, activities and opportunities.

About 54,000 Iowans have experienced vision loss. The Iowa Department for the Blind believes all Iowans can lead productive, fulfilling lives – including those who happen to be blind or low vision. The Department supports and encourages independent living and full participation in life – at home, at work and in communities. Vision loss knows no boundaries with respect to age, gender or ethnicity. It should not and does not need to limit accomplishment in whatever a person wishes to do.

The Iowa Department for the Blind works to educate and inform businesses, family members, service providers, advocacy groups, businesses, community and service organizations as well as the general public about the true capabilities of people who are blind or have low vision. It actively seeks ongoing communication, interaction and collaboration with all constituencies.

### **Vocational Rehabilitation Program**

The Vocational Rehabilitation (VR) program assists persons who are blind or have low vision in preparing for, obtaining, and retaining employment. Applicants are made eligible based on their visual disability, their need for VR services, and their intent to work. The VR counselor and the eligible individual jointly identify a vocational goal and the services needed to achieve it. Services may include:

- Training to help individuals achieve the vocational goals they have selected
- Assessment, demonstration, and training in the Assistive Technology Resource Center
- Job placement services
- Rehabilitation technology services
- Post-employment follow up
- More information about the [Vocational Rehabilitation Program](#)

### **Independent Living Program**

The Independent Living (IL) program serves individuals with vision loss caused by a condition that cannot be corrected with glasses and has affected the person's ability to complete daily activities such as driving, reading the mail, dialing a telephone, cooking safely and more. Individuals served under this program do not wish to pursue paid employment and are at least age 55 or have other disabilities in combination with their vision loss. Rehabilitation Teachers in the IL program travel throughout the state to help individuals obtain the skills needed to live independently and participate in family and community life.

More information about the [Independent Living Program](#)

<b>SECTION 2      ADMINISTRATIVE INFORMATION</b>
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**2.1 Issuing Officer**

The Issuing Officer identified in the RFP cover sheet is the sole point of contact regarding the RFP from the date of issuance until a Notice of Intent to Award the Contract is issued.

**2.2 Restriction on Communication**

From the issue date of this RFP until a Notice of Intent to Award the Contract is issued, Respondents may contact only the Issuing Officer. The Issuing Officer will respond only to written questions regarding the procurement process. Questions related to the interpretation of this RFP must be submitted as provided in Section 2. Oral questions related to the interpretation of this RFP will not be accepted. Respondents may be disqualified if they contact any State employee other than the Issuing Officer about the RFP except that Respondents may contact the State Targeted Small Business Office on issues related to the preference for Targeted Small Businesses.

This section shall not be construed as restricting communications related to the administration of any contract currently in effect between a Respondent and the State.

**2.3 Downloading the RFP from the Internet**

The RFP and any addenda to the RFP will be posted at <http://bidopportunities.iowa.gov/>. The Respondent is advised to check the website periodically for addenda to this RFP, particularly if the Respondent downloaded the RFP from the Internet as the Respondent may not automatically receive addenda. It is the Respondent's sole responsibility to check daily for addenda to posted documents.

**2.4 Procurement Timetable**

The dates provided in the procurement timetable on the RFP cover sheet are provided for informational and planning purposes. The Agency reserves the right to change the dates. If the Agency changes any of the deadlines for Respondent submissions, the Agency will issue an addendum to the RFP.

**2.5 Questions, Requests for Clarification, and Suggested Changes**

Respondents are invited to submit written questions and requests for clarifications regarding the RFP. Respondents may also submit suggestions for changes to the specifications of this RFP. The questions, requests for clarifications, or suggestions must be in writing and received by the Issuing Officer on or before the date and time listed on the RFP cover sheet. Oral questions will not be permitted. If the questions, requests for clarifications, or suggestions pertaining to a specific section of the RFP, the Respondent shall reference the page and section number(s). The Agency will post written responses to questions, requests for clarifications, or suggestions received from Respondents. The Agency's written responses will become an addendum to the RFP. If the Agency decides to adopt a suggestion that modifies the RFP, the Agency will issue an addendum to the RFP.

The Agency assumes no responsibility for oral representations made by its officers or employees unless such representations are confirmed in writing and incorporated into the RFP through an addendum.

**2.6 Amendment to the RFP**

The Agency reserves the right to amend the RFP at any time using an addendum. The Respondent shall acknowledge receipt of all addenda in its Proposal. If the Agency issues an addendum after the due date for receipt of Proposals, the Agency may, in its sole discretion, allow Respondents to amend their Proposals in response to the addendum.

**2.7 Amendment and Withdrawal of Proposal**

The Respondent may amend or withdraw and resubmit its Proposal at any time before the Proposals are due. The amendment must be in writing, signed by the Respondent and received by the time set for the receipt of Proposals. Electronic mail and faxed amendments will not be accepted. Respondents must notify the Issuing Officer in writing prior to the due date for Proposals if they wish to completely withdraw their Proposals.

**2.8 Submission of Proposals**

The Agency must receive the Proposal in the State's IMPACS Electronic Procurement System before the "Proposals Due" date and time listed on the RFP cover sheet. **This is a mandatory specification and will not be waived by the Agency. Any Proposal received after this deadline will be rejected and returned unopened to the Respondent.** It is the Respondent's responsibility to ensure that the Proposal is received prior to the deadline.

Respondents must furnish all information necessary to enable the Agency to evaluate the Proposal. Oral information provided by the Respondent will not be considered part of the Respondent's Proposal unless it is reduced to writing.

**2.9 Proposal Opening**

The Agency will open Proposals after the deadline for submission of Proposals has passed. The Proposals will remain confidential until the Agency has issued a Notice of Intent to Award a Contract. See Iowa Code Section 72.3. However, the names of Respondents who submitted timely Proposals will be publicly available after the Proposal opening. The announcement of Respondents who timely submitted Proposals does not mean that an individual Proposal has been deemed technically compliant or accepted for evaluation.

**2.10 Costs of Preparing the Proposal**

The costs of preparation and delivery of the Proposal are solely the responsibility of the Respondent.

**2.11 No Commitment to Contract**

The Agency reserves the right to reject any or all Proposals received in response to this RFP at any time prior to the execution of the Contract. Issuance of this RFP in no way constitutes a commitment by the Agency to award a contract.

**2.12 Rejection of Proposals**

The Agency may reject outright and not evaluate a Proposal for reasons including, without limitation:

- 2.12.1** The Respondent fails to deliver the Cost Proposal in a separate envelope.
- 2.12.2** The Respondent acknowledges that a mandatory specification of the RFP cannot be met.
- 2.12.3** The Respondent's Proposal changes a material specification of the RFP or the Proposal is not compliant with the mandatory specification of the RFP.
- 2.12.4** The Respondent's Proposal limits the rights of the Agency.
- 2.12.5** The Respondent fails to include information necessary to substantiate that it will be able to meet a specification of the RFP as provided in Section 4 of the RFP.
- 2.12.6** The Respondent fails to timely respond to the Agency's request for information, documents, or references.
- 2.12.7** The Respondent fails to include proposal security, if required.
- 2.12.8** The Respondent fails to include any signature, certification, authorization, stipulation, disclosure or guarantee as provided in Section 4 of this RFP.
- 2.12.9** The Respondent presents the information requested by this RFP in a format inconsistent with the instructions of the RFP or otherwise fails to comply with the specifications of this RFP.
- 2.12.10** The Respondent initiates unauthorized contact regarding the RFP with a State employee other than the Issuing Officer.
- 2.12.11** The Respondent provides misleading or inaccurate responses.
- 2.12.12** The Respondent's Proposal is materially unbalanced. A Proposal in which line item prices are structured so that it is possible that the Respondent who appears to be low will not end up having the lowest overall cost to the State, due to high prices on particular line items.
- 2.12.13** There is insufficient evidence (including evidence submitted by the Respondent and evidence obtained by the Agency from other sources) to satisfy the Agency that the Respondent is a Responsible Respondent.
- 2.12.14** The Respondent alters the language in Attachment 1, Certification Letter or Attachment 2, Authorization to Release Information letter.
- 2.12.15** The Respondent is a "scrutinized company" included on a "scrutinized company list" created by a public fund pursuant to Iowa Code section 12J.3.

**2.13 Nonmaterial Variances**

The Agency reserves the right to waive or permit cure of nonmaterial variances in the Proposal if, in the judgment of the Agency, it is in the State's best interest to do so. Nonmaterial variances include but are not limited to, minor failures to comply that: do not affect overall responsiveness, are merely a matter of form or format, do not change the relative standing or otherwise prejudice other Respondents, do not change the meaning or scope of the RFP, or do not reflect a material change in the specifications of the RFP. In the event the Agency waives or permits cure of nonmaterial variances, such waiver or cure will not modify the RFP specifications or excuse the Respondent from full compliance with RFP specifications or other Contract specifications if the Respondent is awarded the Contract. The determination of materiality is at the sole discretion of the Agency.

**2.14 Reference Checks**

The Agency reserves the right to contact any reference to assist in the evaluation of the Proposal, to verify the information contained in the Proposal and to discuss the Respondent's qualifications and the qualifications of any subcontractor identified in the Proposal.

**2.15 Information from Other Sources**

The Agency reserves the right to obtain and consider information from other sources concerning a Respondent, such as the Respondent's capability and performance under other contracts, the qualifications of any subcontractor identified in the Proposal, the Respondent's financial stability, past or pending litigation, and other publicly available information.

**2.16 Verification of Proposal Contents**

The content of a Proposal submitted by a Respondent is subject to verification. If the Agency determines in its sole discretion that the content is in any way misleading or inaccurate, the Agency may reject the Proposal.

**2.17 Proposal Clarification Process**

The Agency reserves the right to contact a Respondent after the submission of Proposals for the purpose of clarifying a Proposal. This contact may include written questions, interviews, site visits, a review of past performance if the Respondent has provided goods and/or services to the State or any other political subdivision wherever located, or requests for corrective pages in the Respondent's Proposal. The Agency will not consider information received from or through Respondent if the information materially alters the content of the Proposal or the type of goods and/or services the Respondent is offering to the Agency. An individual authorized to legally bind the Respondent shall sign responses to any request for clarification. Responses shall be submitted to the Agency within the time specified in the Agency's request. Failure to comply with requests for additional information may result in the rejection of the Proposal.

**2.18 Disposition of Proposals**

All Proposals become the property of the State and shall not be returned to the Respondent. Once the Agency issues a Notice of Intent to Award the Contract, the contents of all Proposals will be public records and be available for inspection by interested parties, except for information for which Respondent properly requests confidential treatment according to exceptions provided in *Iowa Code Chapter 22* or other applicable law.



**2.19 Public Records and Requests for Confidential Treatment**

The Agency's release of public records is governed by Iowa Code chapter 22. Respondents are encouraged to familiarize themselves with Chapter 22 before submitting a Proposal. The Agency will copy and produce public records upon request as required to comply with Chapter 22 and will treat all information submitted by a Respondent as non-confidential records unless the Respondent requests specific parts of the Proposal be treated as confidential at the time of the submission as set forth herein **AND the information is confidential under Iowa or other applicable law.**

**2.20 Form 22 Request for Confidentiality**

***FORM 22 MUST BE COMPLETED AND INCLUDED WITH RESPONDENT'S PROPOSAL. COMPLETION AND SUBMITTAL OF FORM 22 IS REQUIRED WHETHER THE PROPOSAL DOES OR DOES NOT CONTAIN INFORMATION FOR WHICH CONFIDENTIAL TREATMENT WILL BE REQUESTED. FAILURE TO SUBMIT A COMPLETED FORM 22 WILL RESULT IN THE PROPOSAL BEING CONSIDERED NON-RESPONSIVE AND ELIMINATED FROM EVALUATION.***

**2.21 Copyright Permission**

By submitting a Proposal, the Respondent agrees that the Agency may copy the Proposal for purposes of facilitating the evaluation of the Proposal or to respond to requests for public records. By submitting a Proposal, the Respondent consents to such copying and warrants that such copying will not violate the rights of any third party. The Agency shall have the right to use ideas or adaptations of ideas that are presented in Proposals.

**2.22 Release of Claims**

By submitting a Proposal, the Respondent agrees that it will not bring any claim or cause of action against the Agency or the State based on the Respondent's misunderstanding concerning the information provided in the RFP or concerning the Agency's or the State's failure, negligent or otherwise, to provide the Respondent with complete, pertinent, or accurate information in this RFP, or for any failure to provide information that any Respondent might consider relevant for purposes of making a decision to submit a Proposal or to enter into any Contract resulting from this RFP.

**2.23 Respondent Presentations**

Respondents may be required to make a presentation. The determination as to the need for presentations, and the location, order, and schedule of the presentations are at the sole discretion of the Agency. The presentation may include slides, graphics and other media selected by the Respondent to illustrate the Respondent's Proposal. The presentation shall not materially change the information contained in the Proposal.

**2.24 Evaluation of Proposals Submitted**

Proposals that are timely submitted and are not rejected will be reviewed in accordance with Section 5 of the RFP. The Agency will not necessarily award a Contract resulting from this RFP to the Respondent offering the lowest cost. Instead, the Agency will award the Contract(s) to the Responsible Respondent(s) whose Responsive Proposal the agency believes will provide the best value to the Agency and the State.

**2.25 Award Notice and Acceptance Period**

Notice of Intent to Award the Contract(s) will be sent to all Respondents submitting a timely Proposal and may be posted at the website shown on the RFP cover sheet. Negotiation and execution of the Contract(s) shall be completed no later than thirty (30) days from the date of the Notice of Intent to Award or such other time as designated by the Agency. If the successful Respondent fails to negotiate and deliver an executed Contract by that date, the Agency, in its sole discretion, may cancel the award and award the Contract to the remaining Respondent the Agency believes will provide the best value to the State.

**2.26 No Contract Rights until Execution**

No Respondent shall acquire any legal or equitable rights regarding the Contract unless and until the Contract has been fully executed by the successful Respondent and the Agency.

**2.27 Choice of Law and Forum**

This RFP and the Contract shall be governed by the laws of the State of Iowa. Changes in applicable laws and rules may affect the award process or the Contract. Respondents are responsible for ascertaining pertinent legal requirements and restrictions. Any and all litigation or actions commenced in connection with this RFP shall be brought to the appropriate Iowa forum.

**2.28 Preference**

By virtue of statutory authority, a preference will be given to products and provisions grown and coal produced within the state of Iowa. Preference application: Tied responses to solicitations, regardless of the type of solicitation, are decided in favor of Iowa products and Iowa-based businesses per 11 IAC 117.5(1)-(2), 117.12(4).

**2.29 Restrictions on Gifts and Activities**

*Iowa Code Chapter 68B* restricts gifts that may be given or received by State employees and requires certain individuals to disclose information concerning their activities with State government. Respondents are responsible to determine the applicability of this Chapter 68B to their activities and comply with its requirements. In addition, pursuant to *Iowa Code section 722.1*, it is a felony offense to bribe or attempt to bribe a public official.

**2.30 No Minimum Guaranteed**

The Agency does not guarantee any minimum level of purchases under the Contract.

**2.31 Post Solicitation Debriefing**

A debriefing is available to any Respondent who submitted a proposal in response to this RFP. Respondent shall submit a written request for a debriefing to the Issuing Officer via email or another delivery method. All Respondents will be accorded fair and equal treatment with respect to their opportunity for debriefing. The debriefing shall be scheduled by the Agency as soon as practicable after the receipt of the debriefing request.

**2.32 Appeals**

A Respondent whose Proposal has been timely filed and who is aggrieved by the Notice of Intent to Award of the Department may appeal the decision by filing a written notice of appeal (in accordance with 11—Chapter 117.20, Iowa Administrative Code) to: The Director of the Department of Administrative Services, Hoover State Office Building, Des Moines, Iowa 50319-0104 and a copy to the Issuing Officer. The notice must be filed within five (5) days of the date of

the Notice of Intent to Award issued by the Department, exclusive of Saturdays, Sundays, and legal state holidays. The written notice may be filed by fax transmission to 515.725.2064. The notice of appeal must clearly and fully identify all issues being contested by reference to the page, section and line number(s) of the RFP and/or the Notice of Intent to Award. A notice of appeal may not stay negotiations with the apparent successful Respondent.

**2.33 Letters of Intent to Propose**

A Letter of Intent to Propose may be emailed to the Issuing Officer and received by the time and date listed in the RFP cover sheet. The Letter of Intent to Propose must identify the RFP by its name and number and include the Respondent's name, mailing address, electronic mail address, fax number, telephone number, a statement of Respondent's intent to submit a proposal in response to the RFP, and an authorized signature.

**2.34** Agency is making no guarantee that a certain amount of business will be provided. State of Iowa agencies and political subdivisions will order on an as-needed basis only.

<b>SECTION 3      FORM AND CONTENT OF PROPOSALS</b>
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**3.1 Instructions**

These instructions describe and define the format and content of the Proposal. They are designed to facilitate a uniform review process. Failure to adhere to the Proposal format may result in the rejection of the Proposal.

**3.1.1** The Proposal shall be divided into two parts: (1) the Technical Proposal and (2) the Cost Proposal. The Technical Proposal and the Cost Proposal shall be labeled as such and placed in separate files. The files shall be labeled with the following information:

**RFP1722131007 - Respondent Name –Technical Proposal**

**RFP1722131007 - Respondent Name –Cost Proposal**

**3.1.2** Files must be attached to the Respondent's submission in the State of Iowa IMPACS Electronic Procurement System

<https://bids.sciquest.com/apps/Router/PublicEvent?CustomerOrg=DASlowa>

**3.1.3** If the Respondent designates any information in its Proposal as confidential pursuant to Section 2, the Respondent must also submit one (1) copy of the Proposal from which confidential information has been excised as provided in Section 2 and which is marked:

**RFP1722131007 – Respondent Name – Public Copy**

**3.1.4** Proposals shall not contain promotional or display materials.

**3.1.5** Attachments shall be referenced in the Proposal.

**3.1.6** If a Respondent proposes more than one solution to the RFP specifications, each shall be labeled and submitted in a separate Proposal and each will be evaluated separately.

**3.2 Technical Proposal**

Any information provided in the Technical Proposal is subject to consideration for consideration, evaluation, and scoring. The following documents and responses shall be included in the Technical Proposal in the order given below:

**Exhibit 1 - Transmittal Letter (Required)**

An individual authorized to legally bind the Respondent shall sign the transmittal letter. The letter shall include the Respondent's mailing address, electronic mail address, fax number, and telephone number.

**Exhibit 2 - Executive Summary**

The Respondent shall prepare an executive summary and overview of the goods and/or services it is offering, including all of the following information:

- Statements that demonstrate that the Respondent has read and understands the terms and conditions of the RFP including the Contract provisions in Section 6.
- An overview of the Respondent's plans for complying with the specifications of this RFP.

- Any other summary information the Respondent deems to be pertinent.

**Exhibit 3 - Firm Proposal Terms**

The Respondent shall guarantee in writing the goods and/or services offered in the Proposal are currently available and that all Proposal terms, including price, will remain firm for the number of days indicated on the RFP cover sheet following the deadline for submitting Proposals.

**Exhibit 4 - Respondent Background Information**

The Respondent shall provide the following general background information:

- Does your state have a preference for instate Contractors? Yes or No. If yes, please include the details of the preference.
- Name, address, telephone number, fax number and e-mail address of the Respondent including all d/b/a's or assumed names or other operating names of the Respondent and any local addresses and phone numbers.
- Form of business entity, e.g., corporation, partnership, proprietorship, or LLC.
- Copy of W-9.
- State of incorporation, state of formation, or state of organization.
- The location(s) including address and telephone numbers of the offices and other facilities that relate to the Respondent's performance under the terms of this RFP.
- Number of employees.
- Type of business.
- Name, address and telephone number of the Respondent's representative to contact regarding all contractual and technical matters concerning the Proposal.
- Name, contact information and qualifications of any subcontractors who will be involved with this project the Respondent proposes to use and the nature of the goods and/or services the subcontractor would perform.
- Respondent's accounting firm.
- Awarded Respondent will be required to register to do business in Iowa before payments can be made.
- For Contractor registration documents, go to:  
<https://das.iowa.gov/procurement/vendors/how-do-business>

**Exhibit 5 - Experience**

The Respondent shall provide the following information regarding its experience:

- Number of years in business.
- Number of years of experience with providing the types of services sought by the RFP.
- The level of technical experience in providing the types of services sought by the RFP.
- A list of all goods and/or services similar to those sought by this RFP that the Respondent has provided to other businesses or governmental entities.
- Letters of reference from three (3) previous or current customers or clients knowledgeable of the Respondent's performance in providing goods and/or services similar to the goods and/or services described in this RFP and a contact person and telephone number for each reference.

**Exhibit 6 - Termination, Litigation, and Debarment**

The Respondent shall provide the following information for the past five (5) years:

- Has the Respondent had a contract for goods and/or services terminated for any reason? If so, provide full details regarding the termination.

- Describe any damages or penalties assessed against or dispute resolution settlements entered into by Respondent under any existing or past contracts for goods and/or services. Provide full details regarding the circumstances, including the dollar amount of damages, penalties and settlement payments.
- Describe any order, judgment or decree of any Federal or State authority barring, suspending or otherwise limiting the right of the Respondent to engage in any business, practice or activity.
- A list and summary of all litigation or threatened litigation, administrative or regulatory proceedings, or similar matters to which the Respondent or its officers have been a party.
- Any irregularities discovered in any of the accounts maintained by the Respondent on behalf of others. Describe the circumstances and disposition of the irregularities. Failure to disclose these matters may result in rejection of the Proposal or termination of any subsequent Contract. The above disclosures are a continuing requirement of the Respondent. Respondent shall provide written notification to the Agency of any such matter commencing or occurring after submission of a Proposal, and with respect to the successful Respondent, following the execution of the Contract.

**Exhibit 7 - Criminal History and Background Investigation**

The Respondent hereby explicitly authorizes the Agency to conduct criminal history and/or other background investigation(s) of the Respondent, its officers, directors, shareholders, partners and managerial and supervisory personnel who will be involved in the performance of the Contract.

**Exhibit 8 - Acceptance of Terms and Conditions**

By submitting a Proposal, Respondent acknowledges its acceptance of the terms and conditions of the RFP and the General Terms and Conditions without change except as otherwise expressly stated in its Proposal. If the Respondent takes exception to a provision, it must identify it by page and section number, state the reason for the exception and set forth in its Proposal the specific RFP or General Terms and Conditions language it proposes to include in place of the provision. If Respondent's exceptions or responses materially alter the RFP, or if the Respondent submits its own terms and conditions or otherwise fails to follow the process described herein, the Agency may reject the Proposal, in its sole discretion.

**Exhibit 9 - Certification Letter**

The Respondent shall sign and submit with the Proposal, the document included as Attachment #1 (Certification Letter) in which the Respondent shall make the certifications included in Attachment #1.

**Exhibit 10 - Authorization to Release Information**

The Respondent shall sign and submit with the Proposal the document included as Attachment #2 (Authorization to Release Information Letter) in which the Respondent authorizes the release of information to the Agency.

**Exhibit 11 – Mandatory Specifications**

The Respondent shall answer whether or not it will comply with each specification in Section 4 of the RFP. Where the context requires more than a yes or no answer or the specific specifications so indicates, Respondent shall explain how it will comply with the specification. Merely repeating the Section 4 specifications may be considered non-responsive and result in the rejection of the Proposal. Proposals must identify any deviations from the specifications of the RFP or specifications the Respondent cannot satisfy. If the Respondent deviates from or cannot satisfy the specification(s) of this section, the Agency may reject the Proposal.

**Exhibit 12 – Non-Visual Access**

Respondents will provide a detailed description of their proposed solution. Include documentation on the following:

- a. Demonstrate that the solution is able to meet or exceed Section 508, The Rehabilitation Act of 1973, as amended and how all operational, technical, and functional minimum standards contained in 45CFR Part 160 and Part 164, subparts A, C and E.
- b. Describe how the solution will provide equivalent access for effective use by both visual and non-visual means; to all user types and interfaces including supervisory and administrative screens.
- c. Describe how the solution will present information, including prompts used for interactive communication, in formats intended for both visual and non-visual use.
- d. Demonstrate that the solution is compliant with WCAG 2.2 AA standards.

**Exhibit 13 – Data Gathering and Storage**

Describe the Data Gathering and Storage capabilities of the solution.

- a. Describe the capture of required information on all Independent Living (IL) and Vocational Rehabilitation (VR) referrals.
- b. Describe the tracking of all VR, Pre-employment Transition Services (Pre-ETS), and IL services provided in-house.
- c. Describe the tracking of all VR and Pre-ETS services provided as comparable benefits by other service providers.
- d. Describe the tracking of Pre-ETS potentially eligible clients and all services provided.
- e. Describe the tracking of measurable skill gains (MSGs) and credential attainment as required for the RSA-911 report.
- f. Describe the tracking of client training program participation including start date, end date, and completion status.
- g. Describe how the solution will record documentation of employment occurrences including employment start date, federal employment type with a link to federal employment type database (i.e. SOC code), employer, job function and reason for leaving (if no longer employed). Describe how a counselor will record multiple employment records for a participant without losing the original employment start date required for Federal compliance.
- h. Describe how the solution records changes in employment and benefits.

- i. Describe how the solution will address data acquisition, reporting and reimbursement tracking that is unique to SSI/SSDI recipients for SSA.

#### **Exhibit 14 – User Interface**

Describe the User Interface of the following:

- a. User access via computer, tablet, and smart phone to all areas of the Case Management System to which they are allowed access.
- b. Sorting: cases by client name, case number, case status, application date, activity due and activity due date, training program, and closure date.
- c. Locating a particular case by searching for a client’s last and/or first name.
- d. Displaying all cases for an individual (past and present) stored in the system, including wildcard searches for participants.
- e. Displaying all cases for which a user has access.
- f. “Activity Due” reminders specific to each program including: Eligibility Due, Trial Work Experience Plan Expire, Plan Due, Plan Expire, Closure, and Annual Plan Review.
- g. User specific custom activity reminders.

#### **Exhibit 15 – Case Management**

Describe how the solution will:

- a. Prohibit users from entering two participants into the system with the same SSN, first name, last name, and/or date of birth information.
- b. Prohibit users from creating more than one open case of a particular case type for a participant.
- c. Describe the development and storage of:
  - client rehabilitation plans including “Individualized Plan for Employment Plans” (IPE’s).
  - Independent Living Rehabilitation Plans (ILRP’s).
  - Independent Living waiver plans.
- d. Prompt for and record annual review of cases.
- e. Require supervisory approval of case closure.
- f. Permit a client to be assigned to multiple users, such as a counselor, teacher, and technology specialist.
- g. Permit a supervisor of specialists to view all clients assigned to their team members.



- h. Display all cases assigned to one case manager, teacher, or specialist.
- i. Permit a user to reopen a closed case for Post Employment Services (PES).
- j. Permit the transfer of client cases from the Vocational Rehabilitation to the Independent Living Program and the transfer of client cases from the Independent Living Program to the Vocational Rehabilitation Program.
- k. Permit the creation of client case notes regardless of active case status.
- l. Permit the prompting for Ticket to Work assignment upon development of IPE and at case closure.
- m. Prompt for SSA (Social Security Administration) reimbursement claim at case closure for eligible cases.
- n. Describe the solution's capacity to manage an order of selection processes, which includes:
  - Assignment of clients to established priority groups.
  - System edits relating to restricting movement of clients beyond eligibility status when in closed priority group.
  - Notification of clients concerning priority group assignment and resulting service restrictions.
- o. Record information related to case closure including collecting federal RSA-911 or 7-OB (where applicable), closure data elements, and rationale of closure for all programs.
- p. Permit for automatic or manual deletion of data in order to maintain compliance with IDB's retention policy, SWIS agreement, and any future data sharing agreements.

**Exhibit 16 – Billing System**

Describe the billing system and billing process that will be used. This description must include the Respondent's procedures for obtaining billing information whether the billing will be performed in-house or contracted, and a sample bill format. Describe how the Respondent's solution will:

- a. Permit for partial payment of an authorization.
- b. Permit for partial payment to be marked as final.
- c. Permit all authorizations to be approved by the user's assigned supervisor.
- d. Generate an electronic, printable payment document (warrant request) linked to case data.
- e. Provide for authorizing products or services.
- f. Permit the voiding on authorizations that are no longer needed.
- g. Permit budgeting of case service funds at the major program level.

- h. Permit generation of fiscal authorizations for services and status changes.
- i. Not permit a case file to be closed until all case authorizations have been paid or voided.
- j. Permit users to update bill payments.

**Exhibit 17 - Functions**

Describe how the Respondent will provide the following functions:

**a. Counselor and Specialist Functions**

- Create Client Notes.
- Create Authorization for Client Services.
- Complete eligibility determination.
- Create IPE.
- Record client service provided both in house and as a comparable benefit.
- Record a measurable skill gain.
- Create and delete ticklers/reminders.
- Refer client to an internal specialist for service provision.
- Track RSA-911 specific program participation such as enrolled in post-secondary education.

**b. Supervisor Functions**

- Approve authorization
- Approve IPE
- Review subordinate caseloads
- Locate overdue plans, eligibilities, and reviews

**c. Administrator Functions**

- Generate RSA911
- New user setup
- Modify security levels and permissions
- Create an ad hoc query
- Create a new client training program
- Add a new vendor

**Exhibit 18 – Reporting**

Describe how the Respondent will provide the following reports and features. The proposal shall include a sample of the reporting formats.

- a. Describe how quarterly RSA-911 data reports include all data for VR Clients in Microsoft Excel.
- b. Describe how RSA-7-OB reports are provided.
- c. Describe how ACL Independent Living Programs PPR-704 report are provided.

- d. Describe how reports of all authorizations, obligations, encumbrances and liquidations are done.
- e. Describe how supervisors of specialists create reports of specialist activity.
- f. Describe the ability to compile statistical data and ad hoc reports on request.
- g. Describe how agency development staff create and catalog reports for statewide distribution.
- h. Describe how ad hoc report generation capabilities for special request or other one-time reporting requirements are done.
- i. Describe how users save query steps for later use by themselves and/or others.
- j. Describe how non-technical managers can easily create and modify queries without knowledge of any programming language.
- k. Describe how the solution runs reports of obligations and encumbrances.

**Exhibit 19 - Documentation**

Describe how the Respondent’s solution will address the following:

- Generate accessible electronic and printable client forms and documents including eligibility determination letter, authorization letters, IPEs, and closure letters.
- Permit for the storage and retrieval of PDF documents within the client case file.
- Permit clients and staff to accessibly sign forms and documents or allow for the secure integration of an accessible form signing application such as DocuSign.

**Exhibit 20 – Implementation Plan**

Describe the implementation strategy on the on-premises solution including on-site coordination and support services, best practice consulting options and professional services. Identify any third-party vendors involved in the Respondent’s implementation strategy and describe these relationships. Describe the skills and time required by State of Iowa personnel for the initial installation and implementation of the proposed on-premises system. Provide an estimate of the State of Iowa staff time required to complete the installation. Describe the documentation provided with the product along with applicable costs for any additional documentation. Describe the Respondent’s experience with installations similar in size. Provide an implementation schedule, based on weekly milestones (not dates).

- Data Migration - All proposals shall include data migration options. The Agency requires the migration from the existing Microsoft SQL database of approximately:
  - 1200 VR case records
  - 1200 IL case records
  - 1700 vendor records

### **Exhibit 21 – Security**

- a. Describe how the solution will permit system access through use of Windows Active Directory authentication. Use existing Windows user ID, password, and groups to provide application-level security.
- b. Describe how the Respondent will allow the use of two-factor authentication.
- c. Describe how the Respondent will allow for on premises data storage and backup.
- d. Permit for FEDRAMP compliant secure cloud-based installation, data storage, and disaster recovery.
- e. Describe the full security audit capabilities that support logging of: access to the system, application, database, and client specific data records. Describe how the system generates log events to an easily accessible flat file.

### **Exhibit 22 – Service Reliability**

The Respondent will provide plans for the following:

- a. **Disaster Recovery Plan** - Describe how the Respondent plans to cope with specific disasters.
- b. **Uninterruptible Power System** - Describe how a backup power system would supply power for at least eight hours.

### **Exhibit 23 - Maintenance**

Provide detailed information on the customer service program and maintenance plans. Include response times and the access to and timeliness of service engineers.

### **Exhibit 24 - Warranty**

Provide warranty documentation for the proposed solution. Describe replacement parts program, costs, and turnaround time.

### **Exhibit 25 – Optional Features**

The Respondent may describe other services or service enhancements it offers or intends to offer during the term of the contract which is not already described elsewhere. Other services or service enhancements not described in this RFP must be clearly labeled as such. The Respondent will clearly distinguish between services and enhancements it already offers and those it intends to offer. Descriptions falling into the latter category will include a conservative projection of when the Respondent believes it will roll out the described service or enhancement.

Provide detailed information for any optional items that may be available. (Include costs for these items in the Cost Proposal). This may include the following:

- Ability to print documents in alternate formats and/or allow for simple conversion to braille.
- Integrated RSA-911 error checker.
- Alert case managers and supervisors via email and/or text of upcoming eligibility and plan completion deadlines.

- Contains client portal that allows for communication between clients, counselors, and specialists; Preserve portal communications as part of the client file to aid in current and future client services.
- Allow online completion of the application for VR and IL services into the system from a publicly accessible web interface.
- Ability to important export client demographic data to Geographic Solutions workforce case management system for communication with WIOA partners.

**Exhibit 26 - Addendums**

Provide signed copy of posted RFP addendums.

**Exhibit 27 - Request for Confidentiality**

The Respondent must sign and submit with the Proposal the document included as Attachment #3 Form 22 – Request for Confidentiality.

**3.3 Cost Proposal**

The Respondent shall provide its Cost Proposal in a separately sealed envelope for the proposed goods and/or services. All prices are quoted pursuant to the terms and conditions of this RFP. Respondent’s Cost Proposal shall include an all-inclusive, itemized, total cost in U.S. Dollars (including all travel, expenses, etc. in prices) for the proposed services. All pricing to be FOB Destination, freight cost, and all expenses included; and based on Net 60 Days Payment Terms.

Respondent shall provide the proposed pricing structure. If proposing tiered pricing, the Respondent needs to provide the tiered pricing structure and what specifications are included at each level. The quote must include everything needed to implement the proposed solution. Cost proposals must include the following:

- Provide any one-time and recurring costs for the system. Recurring costs are to be for a 6-year period to cover the initial term and extensions to the contract.
- Subscription costs.
- Equipment costs.
- Staff costs.
- Support & Maintenance costs.
- Any other costs associated with the proposed system.
- Pricing for options.

## SECTION 4 SPECIFICATIONS

### Overview

The successful Respondent shall provide the goods and/or services to the State in accordance with the specifications and technical specifications as provided in this Section. The Respondent shall address each specification in this Section and indicate whether or not it will comply with the specification. If the context requires more than a yes or no answer or the section specifically indicates, the Respondent shall explain how it will comply with the specification. Proposals must address each specification. Merely repeating the specifications may be considered non-responsive and may disqualify the Respondent. Proposals must identify any deviations from the specifications of this RFP or specifications the Respondent cannot satisfy. If the Respondent deviates from or cannot satisfy the specification (s) of this section, the Agency may reject the Proposal.

All items listed in this section are Mandatory Specifications. Respondents must indicate either “**yes**” or “**no**” to each specification in their Proposals and provide an explanation as to how the specification is met. By indicating “yes” a Respondent agrees that it shall comply with that specification throughout the full term of the Contract, if the Respondent is successful. In addition, if specified by the specifications or if the context otherwise requires, the Respondent shall provide references and/or supportive materials to verify the Respondent’s compliance with the specification. The Agency shall have the right to determine whether the supportive information and materials submitted by the Respondent demonstrate that the Respondent will be able to comply with the Mandatory Specifications. If the Agency determines the responses and supportive materials do not demonstrate the Supplier will be able to comply with the Mandatory Specifications, the Agency may reject the Proposal.

### 4.1 Solution Requirements

The proposed system shall provide the following:

- 4.1.1 The solution shall comply with The Rehabilitation Act of 1973, as amended.  
<https://www.section508.gov/>
- 4.1.2 The solution shall comply with WCAG 2.2 AA standards (currently in draft status).  
<https://www.w3.org/TR/WCAG22/>
- 4.1.3 The solution shall provide [equivalent access](#) for effective use by both visual and non-visual means; to all user types and interfaces including supervisory and administrative screens; shall present information, including prompts used for interactive communication, in formats intended for both visual and non-visual use. The system shall accommodate screen reader and screen magnification software.
- 4.1.4 The solution design shall comply with the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”), more specifically with the Privacy and Security Rules at 45 C.F.R. Part 160 and Part 164, subparts A, C, and E. [https://www.hhs.gov/hipaa/for-professionals/privacy/guidance/introduction/index.html#:~:text=The%20Privacy%20Rule%20\(45%20CFR,in%20the%20health%20care%20system.](https://www.hhs.gov/hipaa/for-professionals/privacy/guidance/introduction/index.html#:~:text=The%20Privacy%20Rule%20(45%20CFR,in%20the%20health%20care%20system.)
- 4.1.5 The solution shall store data in a secure encrypted environment on-premises located at 524 Fourth Street, Des Moines, IA 50309-2364 that meets applicable standards for the type of data stored. Found in [Attachment #5](#) – Additional IT Terms and Conditions.

**4.1.6** The Respondent shall include a sample invoice in its proposal.

**4.2 Implementation**

The solution should include delivery, testing, equipment refresh and disposal information. Upon award of a Contract, the Agency shall negotiate an implementation schedule with the successful Respondent. The successful Respondent is responsible for working with the Agency to ensure a seamless transition into a new system.

**4.3 Installation**

The Respondent shall furnish all necessary facilities, equipment, and software to implement a Rehabilitation and Independent Living Case Management System. Installation of any equipment and/or software shall be the Respondent's responsibility and expense, as will be the removal of such equipment and/or software upon completion of the contract or cancellation of the contract. The Respondent shall be responsible for all Respondent-owned equipment. The risk of loss and/or damage to Respondent-owned equipment and/or software shall be fully assumed by the Respondent at all times pertinent to the contract.

**4.4 Post Delivery Documentation**

Respondent is to provide the following documentation upon completion of installation:

- Operator Instructions - Written operator instructions for the operation of the system, all sub-unit assemblies, and software routines.
- Service Manuals - Current and accurate service manuals are to be provided with the system.

**4.5 Warranty**

Minimum of a 5-year warranty on the system to include hardware.

**4.6 Maintenance and Support Services**

**4.6.1** The Respondent is responsible for the full implementation support for all solution upgrades, hardware, bug fixes, software repair, enhancements, or other changes in code provided by the Respondent during the term of the contract.

**4.6.2** The Respondent must provide United States-based support.

**4.6.3** Respondent will provide preventative maintenance as needed.

**4.6.4** Respondent will provide same-day response time on system issues and outages.

**4.7 Training**

The Respondent will provide general user training and administrator training.

<b>SECTION 5      EVALUATION AND SELECTION</b>
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**5.1 Introduction**

This section describes the evaluation process that will be used to determine which Proposal(s) provides the greatest value to the State. Agency will not necessarily award the Contract to the Respondent offering the lowest cost to the Agency. Instead, the Agency will award to the Respondent whose Responsive Proposal the Agency believes will provide the best value to the State.

**5.2 Evaluation Committee**

The Agency will use an evaluation committee to conduct a comprehensive, fair, and impartial evaluation of Technical Proposals received in response to this RFP. The evaluation committee will recommend an award based on the results of their evaluation to the Agency or to such other person or entity that must approve the recommendation.

**5.3 Technical Proposal Evaluation and Scoring**

All Technical Proposals will be evaluated to determine if they comply with the Mandatory Specifications. The evaluation committee will fully evaluate and score all Responsive Proposals submitted by Responsible Respondents in accordance with this Section. In addition to other RFP requirements, to be deemed a Responsive Proposal, the Technical Proposal must:

- Answer “Yes” to all parts of Section 4 and include supportive materials as required to demonstrate the Respondent will be able to comply with the Mandatory Specifications in that section and
- Obtain the minimum score for the Technical Proposal. If a Technical Proposal does not meet the minimum score, it will be rejected and the Respondent’s Cost Proposal will not be evaluated.

An addendum identifying the points assigned to the scoring criteria and identifying the minimum score for the Technical Proposal will be posted prior to the RFP closing.

**5.4 Cost Proposal Scoring**

After the Technical Proposals are evaluated and scored, the Cost Proposals will be opened and scored.

The cost proposal for each respondent will be evaluated in comparison with the other cost proposals received; however, the number of points possible will be proportional to each respondent’s technical evaluation score.

The technical evaluation points received (numerator) is divided by the technical evaluation points possible (denominator) and multiplied by the maximum number of points in the cost evaluation. This provides the total points possible for the respondent in the cost evaluation.

Points Possible for Respondent =  
$$\frac{\text{Technical Evaluation Points Received}}{\text{Technical Evaluation Points Possible}} \times \text{Maximum Points in Cost Evaluation}$$



The lowest cost proposal (numerator) is divided by the cost proposal being evaluated (denominator) and multiplied by the points possible for the respondent. This provides the cost evaluation points awarded.

$$\text{Cost Evaluation Points Awarded} = \frac{\text{Lowest Cost Proposal Received}}{\text{Cost Proposal Being Evaluated}} \times \text{Points Possible for Respondent}$$

For example, suppose there are 10 maximum points in the cost evaluation. A respondent that receives 100% of the points possible in the technical evaluation has the opportunity to earn 100% of the points possible in the cost evaluation (e.g., 10 points). If the cost proposal is the lowest cost, the full 10 points will be awarded.

However, a respondent that receives only 50% of the points possible in the technical evaluation has the opportunity to earn only 50% of the points possible in the cost evaluation (e.g., 5 points). If the cost proposal is the lowest cost, only 5 points are awarded, compared to the 10 points that could have been awarded if the respondent had received the highest technical evaluation score.

## **5.5 Tied Score and Preferences**

- 5.5.1** An award shall be determined by a drawing when responses are received that are equal in all respects and tied in price. Whenever it is practical to do so, the drawing will be held in the presence of the Respondents who are tied in price. Otherwise, the drawing will be made in front of at least three non-interested parties. All drawings shall be documented.
- 5.5.2** Notwithstanding the foregoing, if a tied bid involves an Iowa-based Respondent or products produced within the State of Iowa and a Respondent based or products produced outside the State of Iowa, the Iowa Respondent will receive preference. If a tied bid involves one or more Iowa Respondents and one or more Respondents outside the state of Iowa, a drawing will be held among the Iowa Respondents only.
- 5.5.3** In the event of a tied score between Iowa Respondents, the Agency shall contact the Iowa Employer Support of the Guard and Reserve (ESGR) committee for confirmation and verification as to whether the Respondents have complied with ESGR standards. Preference, in the case of a tied bid, shall be given to Iowa Respondents complying with ESGR standards.
- 5.5.4** Second preference in tied scores will be given to Respondents based in the United States or products produced in the United States over Respondents based or products produced outside the United States.
- 5.5.5** Preferences required by applicable statute or rule shall also be applied, where appropriate.

## SECTION 6 CONTRACT TERMS AND CONDITIONS

### 6.1 Contract Terms and Conditions

The Contract that the Agency expects to award as a result of this RFP shall comprise the specifications, terms and conditions of the RFP, written clarifications or changes made by the Agency to the RFP through an amendment to the RFP in accordance with the provisions of the RFP, the Terms and Conditions, the offer of the successful Respondent contained in its Proposal, and any other terms deemed necessary by the Agency. No objection or amendment by a Respondent to the provisions or terms and conditions of the RFP or the Terms and Conditions shall be incorporated into the Contract unless Agency has explicitly accepted the Respondent's objection or amendment in writing.

The Contract terms and conditions in this Section 6, the General Terms and Conditions to the extent referenced and linked to on the RFP cover page, and/or any Terms and Conditions attached to and accompanying this RFP as an attachment hereto, will be incorporated into the Contract. The Terms and Conditions may be supplemented at the time of contract execution and are provided to enable Respondents to better evaluate the costs associated with the RFP specifications and the Contract. All costs associated with complying with such Terms and Conditions should be included in any pricing quoted by the Respondent.

By submitting a Proposal, Respondent acknowledges its acceptance of the terms and conditions of the RFP and the Terms and Conditions without change except as otherwise expressly stated in its Proposal. If the Respondent takes exception to a provision, it must identify it by page and section number, state the reason for the exception, and set forth in its Proposal the specific RFP or Terms and Conditions language it proposes to include in place of the provision. If Respondent's exceptions or proposed responses materially alter the RFP, or if the Respondent submits its own terms and conditions or otherwise fails to follow the process described herein, the Agency may reject the Proposal, in its sole discretion.

The Agency will evaluate all Proposals without regard to any proposed modifications to any terms and conditions of the RFP or Terms and Conditions by Contractor. Once a Proposal has been identified as the one for which an Award recommendation has been made, but prior to notifying Respondents of the decision, the Agency, in its sole discretion, may consider any proposed modifications to the terms and conditions of the RFP or Terms and Conditions identified in that Proposal. The Agency reserves the right to either award a Contract(s) without further negotiation with the successful Respondent or to negotiate Contract terms with the successful Respondent if the best interests of the State would be served. As such, if any proposed modifications are not determined to be in the best interests of the State, or appear to pose a substantial impediment to reaching agreement, the Agency may, in its sole discretion:

- 6.1.1** Issue a Notice of Intent to Award in favor of the successful Respondent, but decline to agree to or further negotiate any proposed modifications to terms and conditions identified by the Respondent in its Proposal;
- 6.1.2** Issue a Notice of Intent to Award in favor of the successful Respondent, and identify in the Notice proposed modifications to terms and conditions identified by the Respondent in its Proposal with which the agency will or will not agree or further negotiate;

- 6.1.3** Enter open-ended negotiations with the successful Respondent; provided, that any such negotiations shall be limited to the proposed modifications to terms and conditions identified by Respondent in its Proposal;
- 6.1.4** Change the Agency's recommendation for Award and issue a Notice of Intent to Award to a Respondent whose proposal does not pose as great of a challenge to the Agency.

Any ambiguity, vagueness, inconsistency or conflict, either internal to such modification(s) or arising when read in conjunction with other portions of the Contract, shall be construed strictly in favor of the State. Only those proposed modifications identified in the Notice of Intent to Award issued by the Agency as terms and conditions with which the agency will or will not agree or further negotiate shall be part of the Contract, and the State may ignore all proposed modifications, accept one or more and ignore others, accept all or, through negotiations after an award, agree to compromise language concerning one or more proposed modifications to be incorporated into a final Contract between the parties. By executing and submitting its Proposal in response to this RFP, Respondent understands and agrees that the State may exercise its discretion not to consider any or all proposed modifications Respondent may request and may accept Respondent's proposal under the terms and conditions of this RFP and the Terms and Conditions.

**6.2 Contractual Terms and Conditions – No Material Changes/Non-Negotiable**

Notwithstanding anything in this RFP to the contrary, Respondent may not take exception to or propose including language in any resulting contract that conflicts with or is otherwise inconsistent with the following:

**6.2.1 Indemnification**

Without specific authority to do so, the State, or agencies, cannot enter into agreements indemnifying Respondents, or any other entity, against third-party claims. A clause that intends to seek indemnification from the State, whether or not the clause contains the words "indemnity" or "indemnify," are not clauses to which the State may agree. The State will not agree to clause that includes the language "to the extent permitted by law" because, as explained, the State cannot indemnify Respondents to any extent.

**6.2.2 Limitation of Liability**

Iowa Code section 8A.311(22) and 11 Iowa Admin. Code Chapter 120 establish the rules to allow for the State to agree to a contractual limitation of vendor liability clause in limited circumstances. Any request by Respondent for the State to limit damages not in accordance with Iowa law or administrative rules is a request with which the State cannot agree.

**6.2.3 Jurisdiction and Venue**

Iowa Code chapter 13 establishes that the Iowa Attorney General is the State's attorney for all purposes, including management of litigation and claims against the state. The State may not preempt the Attorney General's authority by agreeing in advance to control the way litigation may be managed in the event of a dispute. Likewise, the State cannot agree to the jurisdiction or laws of another state or its courts, cannot agree to venue in another state, and cannot agree to participate in any form of alternative dispute resolution.

#### **6.2.4 Confidentiality**

All Iowa state agencies are subject to Iowa public records laws. The State cannot agree to contractual terms that attempt to prevent it from disclosing or disseminating records that constitute public records under Iowa Code chapter 22.

#### **6.2.5 Unliquidated Expenses (i.e., Attorney Fees, Add-ons, or Cost Increases)**

The State may not agree to clauses that may obligate it to pay for claims that might exceed its current funding appropriation. The State may only obligate those funds that have been appropriated to it by the Iowa Legislative Assembly and may only obligate those funds for the purposes for which the funds were appropriated.

### **6.3 Special Terms and Conditions**

#### **6.3.1 Term Length**

The Contract shall have an initial term of one (1) year, beginning on the date of contract execution (the "Effective Date"). At the end of the Contract's initial term, the State shall have the option, in its sole discretion, to renew the Contract on the same terms and conditions for up to a total of five (5) additional one-year terms. The State will give the Vendor written notice of its intent whether to exercise each option no later than thirty (30) days before the end of the Contract's then-current term.

#### **6.3.2 Payment Terms**

##### **6.3.2.1 Payment Methods**

The State of Iowa, in its sole discretion, will determine the method of payment for goods and/or services as part of the Contract. The State Pcard and EAP are preferred payment methods, but payments may be made by any of the following methods: Pcard/EAP, EFT/ACH, or State Warrant. Respondents shall indicate in their Cost Proposals all of the payment methods they will accept. **This information will not be scored as part of the Cost Proposal or evaluated as part the Technical Proposal.**

##### **6.3.2.2 Electronic Funds Transfer (EFT) by Automated Clearing House (ACH)**

The State of Iowa may make payment by EFT by ACH. Payments are deposited into the financial institution of the claimant's choice three working days from the issue date of the direct deposit.

[https://das.iowa.gov/sites/default/files/acct\\_sae/man\\_for\\_ref/forms/eft\\_automation\\_form.pdf](https://das.iowa.gov/sites/default/files/acct_sae/man_for_ref/forms/eft_automation_form.pdf)

##### **6.3.2.3 State Warrant**

The State of Iowa's warrant drawn on the Treasurer of State is used to pay claims against the departments of the State of Iowa. The warrant is issued upon receipt of proper documentation from the issuing department.

##### **6.3.2.4 Credit card or ePayables**

The State of Iowa's Purchasing Cards (Pcards) and ePayable solution (EAP) are commercial payment methods utilizing the VISA credit card network. The State of Iowa will not accept price changes or pay additional fees if Respondent uses the Pcard or EAP payment methods. Pcard-accepting Respondents must abide

by the State of Iowa's Terms of Pcard Acceptance, as provided in Section 7.7 of the RFP. Respondents must provide a statement regarding their ability to meet the requirements of this subsection, as well as identifying their transaction reporting capabilities (Level I, II, or III).

**6.3.2.5 Terms and Conditions for State of Iowa Purchasing Cards**

The State of Iowa shall pay Contractor's invoices using its Purchasing Card Program (Pcard) whenever possible. The Pcard is a VISA credit card issued by U.S. Bank to allow authorized employees to make purchases on behalf of the State. It is a faster, more convenient alternative to traditional invoicing and remittance processing, allowing US Bank to pay the Contractor directly, generally within 48 hours of the transaction. The Contractor shall comply with security measures for Pcard payments including:

**6.3.2.5.1** Contractor shall comply with Payment Card Industry Data Security Standard (PCI DSS) to assure confidential card information is not compromised;

**6.3.2.5.2** Contractor shall adhere to Fair and Accurate Credit Transactions Act requirements that limit the amount of consumer and account information shared for greater security protection;

**6.3.2.5.3** Contractor shall not write down card numbers or store card information. When accepting orders by phone, the Contractor shall process the transaction during the call and send itemized receipts (excluding card numbers) to the cardholder by fax, email, or mail (with delivery);

**6.3.2.5.4** Contractor shall process payment for items when an order is placed only for items currently in stock and available for shipment, and only for services already rendered;

**6.3.2.5.5** Contractor shall confirm that the name of the purchaser matches the name on the card;

**6.3.2.5.6** Contractor shall ensure Internet orders are processed via secure websites, featuring Verisign, TRUSTe, BBBOnline, or "https" in the web address;

**6.3.2.5.7** Contractor shall shred any documentation with credit card numbers.

**6.3.2.6 Payment Terms**

Per Iowa Code 8A.514 the State of Iowa is allowed sixty (60) days to pay an invoice submitted by a Contractor.

**6.3.2.7 Respondent Discounts**

Respondents shall state in their Cost Proposals whether they offer any payment discounts.

**6.3.2.8 Prompt Payment Discount**

The State can agree to pay in less than sixty (60) days if an incentive for earlier payment is offered.

**6.3.2.9 Invoices**

Any invoices submitted must comply with applicable rules concerning payment of claims, including but not limited to those set forth at Iowa Administrative Code chapter 11—41. The vendor shall bill the Board to the nearest tenth (1/10) of a minute. The vendor shall charge the same rate for one-line and two-line CapTel Relay service. Monthly invoices to the Board are due within 21 days following the end of each calendar month after service has been rendered. Usage figures are subject to audit and adjustment at any time.

**6.3.3 Insurance**

The Contract will require the successful Respondent to maintain insurance coverage(s) in accordance with the insurance provisions of the General Terms and Conditions and of the type and in the minimum amounts set forth below, unless otherwise required by the Agency.

<b>Type of Insurance</b>	<b>LIMIT</b>	<b>AMOUNT</b>
General Liability (including contractual liability) written on an occurrence basis	General Aggregate	\$2 million
	Products –	
	Comp/Op Aggregate	\$1 Million
	Personal injury	\$1 Million
	Each Occurrence	\$1 Million
Automobile Liability (including contractual liability) written on an occurrence basis	Combined single limit	\$1 Million
Excess Liability, Umbrella Form	Each Occurrence	\$1 Million
	Aggregate	\$1 Million
Errors and Omissions Insurance	Each Occurrence	\$1 Million
Property Damage	Each Occurrence	\$1 Million
	Aggregate	\$1 Million
Workers Compensation and Employer Liability	As Required by Iowa law	As required by Iowa law
Cyber Security	Each Occurrence	\$5 Million
	Aggregate	\$5 Million

Acceptance of the insurance certificates by the Department shall not act to relieve the Contractor of any obligation under this Contract. It shall be the responsibility of the Contractor to keep the respective insurance policies and coverages current and in force during the life of this Contract. The Contractor shall be responsible for all premiums, deductibles and for any inadequacy, absence or limitation of coverage, and the Contractor shall have no claim or other recourse against the State or the Department for any costs or loss attributable to any of the foregoing, all of which shall be borne solely by the Contractor. Notwithstanding any other provision of this Contract, the Contractor shall be fully responsible and liable for meeting and fulfilling all of its obligations under this section of the Contract.

#### **6.3.4 Performance Security**

The Contract may require the Respondent to provide security for performance [e.g. performance bond, escrow, letter of credit, liquidated damages]. Agency shall retain ten percent (10%) of each payment due under the Contract. Agency shall pay the retained amount only after all Deliverables have been completed by the Contractor and accepted by the Agency.

Performance-based measures are required to be included in any State contract pursuant with Iowa Code section 8.47 (1).

1. Pursuant to Iowa Code § 8.47 and Department of Administrative Services rule 11 IAC 107.4, the service contract entered into by the Agency shall include a clause or clauses that describe the amount or basis for paying consideration to the vendor based on the vendor's performance under this contract.

2. The agreed times for the performance of the vendor's obligations under this contract are important prerequisites to the award of the contract. The Agency declares, and the vendor acknowledges, that time is of the essence in the performance by the vendor of the terms and conditions of the contract. The Agency declares, and the vendor acknowledges, that the Agency will suffer damages due to a lack of timely performance by the vendor. The parties agree that time is a material element of this contract.

- a. Partial performance of this contract shall not relieve the vendor from liability for reductions in payment specified in this section if any material portion of the contract remains unperformed.
- b. The Agency shall notify the vendor of the basis for any reduction in payment when the Agency deducts such sums from money payable to the vendor.
- c. The vendor's liability for additional reductions in payment shall cease at such time as the Agency obtains complete substituted performance from an alternate vendor.
- d. Payments to the vendor shall not be reduced if performance is delayed or made impossible by an act of God or such other event that is beyond the reasonable control of the vendor. In each such case, the delay or impossibility must be without the fault or negligence of the vendor. A strike by the vendor's employees or a lockout by the vendor shall not be considered beyond the reasonable control of the vendor, nor shall a strike or a lockout be considered an act of God.

### **6.3.5 Quarterly Report**

The Contractor shall provide an electronic detailed quarterly report on all sales made under this agreement within the State of Iowa via E-Mail to the Iowa Department of Administrative Services, Central Procurement, Attn: Laura Shannon, laura.shannon@iowa.gov. The report file format shall be Microsoft Excel compatible format. The report at a minimum shall include the date of sale, customer name and address, full product description, SKU Numbers, quantity, invoice number, unit and extended invoice prices. Respondent proposals must include a sample report and a description of the reporting that will be provided. The State reserves the right to request more detailed information (ad-hoc reporting) at any time and on an individual or specific basis for a specific product, department, time frame, or for a range of products, departments or time frames.

### **6.3.6 Administrative Fee**

Without affecting the approved Good or Service prices or discounts specified in the Master Agreement, the State of Iowa shall be entitled to receive one percent (1.00%) administrative fee on all sales made within the State of Iowa against this agreement. The administration fee due to the State of Iowa shall be paid quarterly by the Contractor directly to the State, made payable to the "Iowa Department of Administrative Services – Central Services Enterprise”.

## **6.4 Order of Precedence**

If there is a conflict or inconsistency between any documents comprising the Terms and Conditions, such conflict or inconsistency shall be resolved according to the following priority, ranked in descending order: (1) any terms and conditions specifically set forth in this Section 6 (Contract Terms and Conditions & Administration) under a subsection with a heading entitled Special Terms & Conditions; (2) the General Terms and Conditions for Services Contracts or Goods Contracts to the extent referenced and linked to on the RFP cover page the Contract; (3) if neither the General Terms and Conditions for Service Contracts or Goods Contracts are linked to on the RFP cover page, any terms and conditions attached to and accompanying this RFP as attachment 5 (Terms and Conditions); and (4) any terms and conditions specifically set forth in this Section 6 (Contract Terms and Conditions & Administration) set forth under a subsection with a title other than Special Terms & Conditions.



**Attachment #1  
Certification Letter**

(Date) \_\_\_\_\_

Laura Shannon, Issuing Officer  
Iowa Department of Administrative Services  
Hoover State Office Building, Level 3  
1305 East Walnut Street  
Des Moines, IA 50319-0105

Re: RFP1722131007- PROPOSAL CERTIFICATIONS

Dear Laura Shannon:

I certify that the contents of the Proposal submitted on behalf of **(Name of Respondent)** in response to **Iowa Department of Administrative Services** for RFP1722131007 for a Rehabilitation and Independent Living Case Management System (CMS) are true and accurate. I also certify that Respondent has not knowingly made any false statements in its Proposal.

**Certification of Independence**

I certify that I am a representative of Respondent expressly authorized to make the following certifications on behalf of Respondent. By submitting a Proposal in response to the RFP, I certify on behalf of the Respondent the following:

1. The Proposal has been developed independently, without consultation, communication or agreement with any employee or consultant to the Agency or with any person serving as a member of the evaluation committee.
2. The Proposal has been developed independently, without consultation, communication or agreement with any other Respondent or parties for the purpose of restricting competition.
3. Unless otherwise required by law, the information found in the Proposal has not been and will not be knowingly disclosed, directly or indirectly prior to Agency's issuance of the Notice of Intent to Award the contract.
4. No attempt has been made or will be made by Respondent to induce any other Respondent to submit or not to submit a Proposal for the purpose of restricting competition.
5. No relationship exists or will exist during the contract period between Respondent and the Agency or any other State agency that interferes with fair competition or constitutes a conflict of interest.

**Certification Regarding Debarment**

I certify that, to the best of my knowledge, neither Respondent nor any of its principals: (a) are presently or have been debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by a Federal Agency or State Agency; (b) have within a five year period preceding this Proposal been convicted of, or had a civil judgment rendered against them for commission of fraud, a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction, violation of antitrust statutes; commission of embezzlement, theft, forgery, falsification or destruction of records, making false statements, or receiving stolen property; (c) are presently indicted for or criminally or civilly charged by a government entity (federal, state, or local) with the commission of any of the offenses enumerated in (b) of this certification; and (d) have not within a three year period preceding this Proposal had one or more public transactions (federal, state, or local) terminated for cause.

This certification is a material representation of fact upon which the Agency has relied upon when this transaction was entered into. If it is later determined that Respondent knowingly rendered an erroneous certification, in addition to other remedies available, the Agency may pursue available remedies including suspension, debarment, or termination of the contract.

**Certification Regarding Registration, Collection, and Remission of Sales and Use Tax**

Pursuant to *Iowa Code sections 423.2(10) and 423.5(8) (2016)* a retailer in Iowa or a retailer maintaining a business in Iowa that enters into a contract with a state agency must register, collect, and remit Iowa sales tax and Iowa use tax levied under *Iowa Code chapter 423* on all sales of tangible personal property and enumerated services. The Act also requires Respondents to certify their compliance with sales tax registration, collection, and remission requirements and provides potential consequences if the certification is false or fraudulent.

By submitting a Proposal in response to the (RFP), the Respondent certifies the following: (check the applicable box)

- Respondent is registered with the Iowa Department of Revenue, collects, and remits Iowa sales and use taxes as required by *Iowa Code chapter 423*; or
- Respondent is not a “retailer” or a “retailer maintaining a place of business in this state” as those terms are defined in *Iowa Code subsections 423.1(47) and (48)(2016)*.

Respondent also acknowledges that the Agency may declare the Respondent’s Proposal or resulting contract void if the above certification is false. The Respondent also understands that fraudulent certification may result in the Agency or its representative filing for damages for breach of contract in addition to other remedies available to the Agency.

Sincerely,

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Name and Title of Authorized Representative**

\_\_\_\_\_  
**Date**

**Attachment #2**  
**Authorization to Release Information Letter**

(Date) \_\_\_\_\_

Laura Shannon, Issuing Officer  
Iowa Department of Administrative Services  
Hoover State Office Building, Level 3  
1305 East Walnut Street  
Des Moines, IA 50319-0105

Re: RFP1722131007- AUTHORIZATION TO RELEASE INFORMATION

Dear Laura Shannon:

**(Name of Respondent)** hereby authorizes the **Iowa Department of Administrative Services** ("Agency") or a member of the Evaluation Committee to obtain information regarding its performance on other contracts, agreements or other business arrangements, its business reputation, and any other matter pertinent to evaluation and the selection of a successful Respondent in response to RFP1722131007.

The Respondent acknowledges that it may not agree with the information and opinions given by such person or entity in response to a reference request. The Respondent acknowledges that the information and opinions given by such person or entity may hurt its chances to receive contract awards from the State or may otherwise hurt its reputation or operations. The Respondent is willing to take that risk.

The Respondent hereby releases, acquits and forever discharges the State of Iowa, the Agency, their officers, directors, employees and agents from any and all liability whatsoever, including all claims, demands and causes of action of every nature and kind affecting the undersigned that it may have or ever claim to have relating to information, data, opinions, and references obtained by the Agency or the Evaluation Committee in the evaluation and selection of a successful Respondent in response to the RFP.

The Respondent authorizes representatives of the Agency or the Evaluation Committee to contact any and all of the persons, entities, and references which are, directly or indirectly, listed, submitted, or referenced in the Respondent's Proposal submitted in response to RFP.

The Respondent further authorizes any and all persons, and entities to provide information, data, and opinions with regard to its performance under any contract, agreement, or other business arrangement, its ability to perform, business reputation, and any other matter pertinent to the evaluation of the Respondent's Proposal. The Respondent hereby releases, acquits and forever discharges any such person or entity and their officers, directors, employees and agents from any and all liability whatsoever, including all claims, demands and causes of action of every nature and kind affecting the Respondent that it may have or ever claim to have relating to information, data, opinions, and references supplied to the Agency or the Evaluation Committee in the evaluation and selection of a successful Respondent in response to RFP.

A photocopy or facsimile of this signed Authorization is as valid as an original.

Sincerely,

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Name and Title of Authorized Representative**

\_\_\_\_\_  
**Date**

**Attachment #3**  
**Form 22 – Request for Confidentiality**  
**SUBMISSION OF THIS FORM 22 IS REQUIRED**

***THIS FORM 22 (FORM) MUST BE COMPLETED AND INCLUDED WITH YOUR PROPOSAL. THIS FORM 22 IS REQUIRED WHETHER THE PROPOSAL DOES OR DOES NOT CONTAIN INFORMATION FOR WHICH CONFIDENTIAL TREATMENT WILL BE REQUESTED. FAILURE TO SUBMIT A COMPLETED FORM 22 WILL RESULT IN THE PROPOSAL TO BE CONSIDERED NON-RESPONSIVE AND ELIMINATED FROM EVALUATION. COMPLETE PART 1 OF THIS FORM IF NO INFORMATION PROPOSAL DOES NOT CONTAIN CONFIDENTIAL INFORMATION. COMPLETE PART 2 OF THIS FORM IF THE PROPOSAL DOES CONTAIN CONFIDENTIAL INFORMATION.***

**1. Confidential Treatment Is Not Requested**

A Respondent not requesting confidential treatment of information contained in its Proposal shall complete Part 1 of Form 22 and submit a signed Form 22 Part 1 with the Proposal.

**2. Confidential Treatment of Information is Requested**

A Respondent requesting confidential treatment of specific information shall: (1) fully complete and sign Part 2 of Form 22, (2) conspicuously mark the outside of its Proposal as containing confidential information, (3) mark each page upon which the Respondent believes confidential information appears **and CLEARLY IDENTIFY EACH ITEM for which confidential treatment is requested; MARKING A PAGE IN THE PAGE MARGIN IS NOT SUFFICIENT IDENTIFICATION**, and (4) submit a “Public Copy” from which the confidential information has been excised.

Form 22 will not be considered fully complete unless, for each confidentiality request, the Respondent: (1) enumerates the specific grounds in Iowa Code Chapter 22 or other applicable law that supports the treatment of the information as confidential, (2) justifies why the information should be maintained in confidence, (3) explains why disclosure of the information would not be in the best interest of the public, and (4) sets forth the name, address, telephone, and e-mail for the person authorized by Respondent to respond to inquiries by the Agency concerning the confidential status of such information.

**The Public Copy from which confidential information has been excised is in addition to the number of copies requested in Section 3 of this RFP.** The confidential information must be excised in such a way as to allow the public to determine the general nature of the information removed and to retain as much of the Proposal as possible.

**Failure to request information be treated as confidential as specified herein shall relieve Agency and State personnel from any responsibility for maintaining the information in confidence. Respondents may not request confidential treatment with respect to pricing information and transmittal letters. A Respondent’s request for confidentiality that does not comply with this form or a Respondent’s request for confidentiality on information or material that cannot be held in confidence as set forth herein are grounds for rejecting Respondent’s Proposal as non-responsive. Requests to maintain an entire Proposal as confidential will be rejected as non-responsive.**

If Agency receives a request for information that Respondent has marked as confidential and if a judicial or administrative proceeding is initiated to compel the release of such information, Respondent shall, at its sole expense, appear in such action and defend its request for confidentiality. If Respondent fails to do so, Agency may release the information or material with or without providing advance notice to Respondent and with or without affording Respondent the opportunity to obtain an order restraining its release from a court possessing competent jurisdiction. Additionally, if Respondent fails to comply with the request process set forth herein, if Respondent’s request for confidentiality is unreasonable, or if Respondent rescinds its request for confidential treatment, Agency may release such information or material with or without providing advance notice to Respondent and with or without affording Respondent the opportunity to obtain an order restraining its release from a court possessing competent jurisdiction.

**Part 1 – No Confidential Information Provided**

**Confidential Treatment Is Not Requested**

Respondent acknowledges that the proposal response contains no confidential, secret, privileged, or proprietary information. There is no request for confidential treatment of the information contained in this proposal response.

This Form must be signed by the individual who signed the Respondent’s Proposal. The Respondent shall place this Form completed and signed in its Proposal.

- ***Fill in and sign the following if you have provided no confidential information. If signing this Part 1, do not complete Part 2.***

_____	_____	_____
Company	RFP Number	RFP Title
_____	_____	_____
Signature (required)	Title	Date

*(Proceed to the next page only if Confidential Treatment is requested.)*

**Part 2 - Confidential Treatment is Requested**

***The below information is to be completed and signed ONLY if the Respondent is requesting confidential treatment of any information submitted in its Proposal.***

**NOTE:**

- ***Completion of this Form is the sole means of requesting confidential treatment.***
- ***A RESPONDENT MAY NOT REQUEST PRICING INFORMATION BE HELD IN CONFIDENCE.***

Completion of the Form and the Agency’s acceptance of Respondent’s submission does not guarantee the agency will grant Respondent’s request for confidentiality. The Agency may reject Respondent’s Proposal entirely in the event Respondent requests confidentiality and does not submit a fully completed Form or requests confidentiality for portions of its Proposal that are improper under the RFP.

**Please provide the information in the table below. The Respondent may add additional lines if necessary or add additional pages using the same format as the table below.**

RFP Section:	Respondent must cite the specific grounds in <i>Iowa Code Chapter 22</i> or other applicable law which supports treatment of the information as confidential.	Respondent must justify why the information should be kept in confidence.	Respondent must explain why disclosure of the information would not be in the best interest of the public.	Respondent must provide the name, address, telephone, and email for the person at Respondent’s organization authorized to respond to inquiries by the Agency concerning the status of confidential information.

This Form must be signed by the individual who signed the Respondent’s Proposal. The Respondent shall place this Form completed and signed in its Proposal. A copy of this document shall be placed in all Proposals submitted including the Public Copy.

- ***If confidentiality is requested, failure to provide the information required on this Form may result in rejection of Respondent’s submittal to request confidentiality or rejection of the Proposal as being non-responsive.***
- ***Please note that this Form is to be completed and signed only if you are submitting a request for confidential treatment of any information submitted in your Proposal. If signing this Part 2, do not complete Part 1.***

\_\_\_\_\_  
Company

\_\_\_\_\_  
RFP Number

\_\_\_\_\_  
RFP Title

\_\_\_\_\_  
Signature (required)

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

**Attachment #4 - Response Check List**

RFP REFERENCE SECTION	RESPONSE INCLUDED	
	Yes	No
<b>Technical Proposal</b>		
Exhibit 1 - Transmittal Letter		
Exhibit 2 - Executive Summary		
Exhibit 3 - Firm Proposal Terms		
Exhibit 4 - Respondent Background Information		
Exhibit 5 - Experience		
Exhibit 6 - Termination, Litigation, and Debarment		
Exhibit 7 - Criminal History and Background Investigation		
Exhibit 8 - Acceptance of Terms and Conditions		
Exhibit 9 - Certification Letter		
Exhibit 10 - Authorization to Release Information		
Exhibit 11 - Mandatory Technical Specifications		
Exhibit 12 – Non-Visual Access		
Exhibit 13 – Data Gathering and Storage		
Exhibit 14 – User Interface		
Exhibit 15 – Case Management		
Exhibit 16 – Billing System		
Exhibit 17 - Functions		
Exhibit 18 - Reporting		
Exhibit 19 - Documentation		
Exhibit 20 – Implementation Plan		
Exhibit 21 - Security		
Exhibit 22 – Service Reliability		
Exhibit 23 - Maintenance		
Exhibit 24 - Warranty		
Exhibit 25 – Optional Features		
Exhibit 26 - Addendums		
Exhibit 27 - Request for Confidentiality		
<b>Cost Proposal</b>		

**Attachment #5**  
**Additional Information Technology Terms and Conditions**

1. **Definitions.** Capitalized terms not defined herein are as defined in the General Terms. The following capitalized terms shall have the following meanings:
  - 1.1. **“Authorized Contractors”** means independent contractors, consultants, or other Third Parties (including other Governmental Entities) who are retained, hired, or utilized by any Governmental Entity to use, maintain, support, modify, enhance, host, or otherwise assist a Governmental Entity with any Deliverables provided pursuant to any General Terms.
  - 1.2. **“Confidential Information”** means, subject to any applicable federal, State, or local laws and regulations, including Iowa Code Chapter 22, any confidential or proprietary information or trade secrets disclosed by either Party (**“Disclosing Party”**) to the other Party (**“Receiving Party”**) that, at the time of disclosure, is designated as confidential (or like designation), is disclosed in circumstances of confidence, or would be understood by the Parties, exercising reasonable business judgment, to be confidential. Confidential Information does not include any information that: (i) was rightfully in the possession of the Receiving Party from a source other than the Disclosing Party prior to the time of disclosure of the information by the Disclosing Party to the Receiving Party; (ii) was known to the Receiving Party prior to the disclosure of the information by the Disclosing Party; (iii) was disclosed to the Receiving Party without restriction by an independent third party having a legal right to disclose the information; (iv) is in the public domain or shall have become publicly available other than as a result of disclosure by the Receiving Party in violation of this Agreement or in breach of any other agreement with the Disclosing Party; (v) is independently developed by the Receiving Party without any reliance on Confidential Information disclosed by the Disclosing Party; (vi) is disclosed or is required or authorized to be disclosed pursuant to law, rule, regulation, subpoena, summons, or the order of a court, lawful custodian, governmental agency or regulatory authority, or by applicable regulatory or professional standards; or (vii) is disclosed by the Receiving Party with the written consent of the Disclosing Party.
  - 1.3. **“Customer Data”** means all information, data, materials, or documents (including Confidential Information of or belonging to any applicable Governmental Entity) originating with, disclosed by, provided by, made accessible by, or otherwise obtained by or from a Governmental Entity making purchases pursuant to any General Terms, including Authorized Contractors of the foregoing, or otherwise related to General Terms in any way whatsoever, regardless of form, including all information, data, materials, or documents accessed, used, or developed by Contractor, Contractor Contractors, or Contractor Personnel in connection with any Deliverables provided pursuant to any General Terms.
  - 1.4. **“Customer Property”** means any property of or belonging to a Governmental Entity making purchases pursuant to General Terms, including Customer Data, software, hardware, programs or other property possessed, owned, or otherwise controlled or maintained by a Governmental Entity.



- 1.5. **“Customer-Owned Deliverables”** means any Deliverables discovered, created, or developed by Contractor, Contractor Contractors, or Contractor Personnel at the direction of the applicable Governmental Entity or for a Governmental Entity or for a specific project pursuant to any General Terms, including all intellectual property rights and proprietary rights arising out of, embodied in, or related to such Deliverables, including copyrights, patents, trademarks, trade secrets, trade dress, mask work, utility design, derivative works, and all other rights and interests therein or related thereto.
- 1.6. **“Deliverables”** means all of the goods, services, software, systems, work, work product, items, materials, property, and/or related documentation to be created, developed, produced, delivered, performed or provided by or on behalf of, or otherwise made available through, Contractor, Contractor Contractors, or Contractor Personnel, directly or indirectly, in connection with any General Terms.
- 1.7. **“Documentation”** means any and all technical information, commentary, explanations, design documents, system architecture documents, database layouts, code, test materials, training materials, guides, manuals, worksheets, notes, work papers, and all other information, documentation, and materials discovered, created, or developed by Contractor, Contractor Contractors, or Contractor Personnel hereunder or otherwise related to or used in conjunction with any Deliverables, in any medium, including hard copy, electronic, digital, and magnetically, or optically encoded media.
- 1.8. **“Governmental Entity”** shall mean any Governmental Entity, as defined in Iowa Code Section 8A.101, or any successor provision thereto. The term Governmental Entity includes without limitation Participating Agencies, agencies, independent agencies, the Judicial Branch, the Legislative Branch, courts, boards, authorities, institutions, establishments, divisions, bureaus, commissions, committees, councils, examining boards, public utilities, offices of elective constitutional or statutory officers, and other units, branches, or entities of government.
- 1.9. **“I.T. Governance Document(s)”** or **“Governance Document(s)”** means any Information Technology policies, standards, processes, guidelines, or procedures developed by OCIO pursuant to Iowa Code section 8B, *available at: <https://ocio.iowa.gov/>* (navigate to policies, standards, rules, respectively), and which are generally applicable to Participating Agencies, absent a waiver granted pursuant to Iowa Code section 8B.21(5) or any corresponding implementing rules.
- 1.10. **“Office of the Chief Information Officer”** or **“OCIO”** means the Office of the Chief Information Officer of the State of Iowa created by Iowa Code chapter 8B.
- 1.11. **“Non-Appropriation Event”** means any of the following:
- a. The legislature or governor fails, in the sole opinion of the applicable Governmental Entity, to appropriate funds sufficient to allow the Governmental Entity to either meet its obligations under any General Terms or operate as required or fulfill its obligations under any General Terms.
  - b. If funds are de-appropriated, reduced, not allocated, or receipt of funds is delayed, or if any funds or revenues needed by a Governmental Entity (regardless of the source of funding or revenues) to make any payment under any General Terms are

insufficient or unavailable for any other reason as determined by the Governmental Entity in its sole discretion;

- c. If a Governmental Entity's authorization to conduct its business or engage in activities or operations related to the subject matter of any General Terms is withdrawn or materially altered or modified;
- d. If the applicable Governmental Entity's duties, programs, or responsibilities are modified or materially altered; or
- e. If there is a decision of any court, administrative law judge or an arbitration panel or any law, rule, regulation, or order is enacted, promulgated, or issued that materially or adversely affects the applicable Governmental Entity's ability to fulfill any of its obligations under any General Terms.

- 1.12. **"Participating Agency"** shall have the same meaning ascribed to it under Iowa Code section 8B, including any subsequent amendments or successor provisions thereto.
- 1.13. **"Purchasing Instrument"** means documentation issued by a Governmental Entity to Contractor for the purchase of Deliverables, including a **"Purchase Order"** or **"Statement of Work"** executed pursuant to any General Terms, regardless of form, and which identifies the Deliverables to be purchased and any other requirements deemed necessary by the applicable Governmental Entity, such as compensation and delivery dates.
- 1.14. **"Security Breach"** means the unauthorized acquisition of or access to Customer Data by an unauthorized person that compromises the security, confidentiality, or integrity of Customer Data, including instances in which internal personnel access systems in excess of their user rights or use systems inappropriately. **"Security Breach"** shall also be deemed to include any breach of security, confidentiality, or privacy as defined by any applicable law, rule, regulation, or order.
- 1.15. **"Services"** include without limitation all services performed or provided by or on behalf of, or otherwise made available through, Contractor, Contractor Contractors, or Contractor Personnel, directly or indirectly, in connection with any General Terms, including any Software or System or any corresponding hosting, implementation, migration, or configuration services associated therewith or related thereto.
- 1.16. **"Software"** means any and all other software, programs, applications, modules and components, in object code form, and all related Source Code.
- 1.17. **"Source Code"** means the human-readable source code, source program, scripts and/or programming language, including HTML, XML, XHTML, Visual Basic, and JAVA, for or related to the Software. Source Code includes all source code listings, instructions (including compiled instructions), programmer's notes, commentary and all related technical information and Documentation, including all such information and documentation that is necessary or useful for purposes of maintaining, repairing, or making modifications or enhancements to the Software and the Source Code.
- 1.18. **"System"** means any system provided or otherwise made available by or through Contractor, Contractor Contractors, or Contractor Personnel, directly or indirectly, in connection with any General Terms, including any Software, programs, or applications

associated therewith or included or incorporated therein, regardless of the method of delivery, including any Internet-enabled, Web-based or other similar delivery method.

- 1.19. **“Third Party”** means a person or entity (including, any form of business organization, such as a corporation, partnership, limited liability corporation, association, etc.) that is not a party to any General Terms.
  - 1.20. **“Contractor Contractor(s)”** means any of Contractors authorized subcontractors, affiliates, subsidiaries, or any other Third Party acting on behalf of or at the direction of Contractor, directly or indirectly, in performing or providing Deliverables under any General Terms.
  - 1.21. **“Contractor Personnel”** means employees, agents, independent contractors, or any other staff or personnel acting on behalf of or at the direction of Contractor or any Contractor performing or providing Deliverables under any General Terms.
2. **Term.** The initial term of any General Terms shall begin on the date of the last signature, below (**“Effective Date”**), and end on the date that is one year after the Effective Date (**“Initial Term”**), unless terminated earlier in accordance with the terms of the General Terms, as amended. After the expiration of the Initial Term, the applicable Governmental Entity shall have the option to extend/renew the General Terms for up to five (5) additional one-year renewal terms (each a **“Renewal Term”**). The decision to extend or renew will be at the sole option of the applicable Governmental Entity and may be exercised by the applicable Governmental Entity by providing written notice to the Contractor at least thirty (30) days prior to the end of the Initial Term and each Renewal Term. The Initial Term and any Renewal Terms are referred to herein collectively as the **“Term.”** The Contractor shall provide the applicable Governmental Entity with at least ninety (90) days prior written notice of the end of the Initial Term and each Renewal Term.
  3. **Scope/Applicability.** Select Governmental Entities in the State of Iowa have the authority to enter into agreements for use by other Governmental Entities. To the extent this Amendment is executed by a Governmental Entity possessing such authority, unless another Governmental Entity possesses a separate, written agreement or amendment signed by both the specific Governmental Entity and Contractor following receipt of any required approvals, to the extent permitted by applicable law, this Amendment shall supersede any General Terms that may have been or may be separately executed by any other Governmental Entity, including through any online mechanism such as a “clickthrough” or other similar mechanisms.
  4. **Grant of License or Use Rights.** Notwithstanding anything in any General Terms to the contrary, any license, use rights, or other similar rights granted by Contractor or Contractor Contractors, directly or indirectly, to a Governmental Entity pursuant to any General Terms shall include, and any Software, System, or other Deliverables provided by Contractor or Contractor Contractors, directly or indirectly, shall include, the following additional grant of rights:
    - 4.1. Any and all rights necessary for the applicable Governmental Entity to use, install, maintain, modify, support, enhance, copy, reproduce, or host any Software, System, or other Deliverables for the applicable Governmental Entity’s business activities, including as described in the RFP or Proposal, if any;
    - 4.2. The same grant of rights to the applicable Governmental Entity’s Authorized Contractors to the extent of any quantity ordered (regardless of whether on a “user,” “seat,” “device,” or other similar basis) by the applicable Governmental Entity.

- 4.3. To the extent the applicable Governmental Entity intends to use, install, maintain, modify, support, enhance, or host any Software, System, or other Deliverables on a Governmental Entity's own systems or devices, the right to use, install, maintain, modify, support, enhance, or host such Software, System, or other Deliverables on any one or more of the computers, data center locations, networks, Internet or intranet sites, servers, systems, or other similar devices of any Governmental Entity or its Authorized Contractor(s).

**5. Intellectual Property.**

- 5.1. *Ownership and Assignment of Customer-Owned Deliverables.* Contractor, Contractor Contractors, and Contractor Personnel hereby irrevocably assign, transfer, and convey to the commissioning Governmental Entity all right, title and interest in and to Customer-Owned Deliverables. Contractor represents and warrants that the applicable Governmental Entity shall acquire good and clear title to all Customer-Owned Deliverables, free from any claims, liens, security interests, encumbrances, intellectual property rights, proprietary rights, or other rights or interests of Contractor or of any Third Party, including Contractor Contractors and Contractor Personnel. Contractor, Contractor Contractors, and Contractor Personnel shall not retain any property interests or other rights in or to Customer-Owned Deliverables and shall not use any Customer-Owned Deliverables, in whole or in part, for any purpose, without the prior written consent of the Governmental Entity commissioning such Deliverables and the payment of such royalties or other compensation as the Governmental Entity deems appropriate. Immediately upon the request of the Governmental Entity, the Contractor will deliver to the Governmental Entity or destroy, or both, at the Governmental Entity's option, all copies of any Customer-Owned Deliverables in the possession of the Contractor.
- 5.2. *Waiver.* To the extent any of Contractor's, Contractor Contractor's, or any Contractor Personnel's rights in any Customer-Owned Deliverables are not subject to assignment or transfer hereunder, including any moral rights and any rights of attribution and of integrity, Contractor, Contractor Contractors, and Contractor Personnel hereby irrevocably and unconditionally waives all such rights and enforcement thereof and agrees not to challenge the applicable Governmental Entity's rights in and to Customer-Owned Deliverables.

**6. Payment.** Notwithstanding anything in any General Terms to the contrary:

- 6.1. A Governmental Entity shall pay all undisputed amounts set forth in approved invoices in arrears and in conformance with Iowa Code Section 8A.514 and 11 Iowa Admin. Code 41.1(2). A Governmental Entity may pay in less than sixty (60) days, as provided in Iowa Code Section 8A.514. However, an election to pay in less than sixty (60) days shall not act as an implied waiver of Iowa Code Section 8A.514. Notwithstanding, a Governmental Entity may, in its sole discretion, elect to prepay fees for services and deliverables in accordance with applicable laws, rules, policies, and procedures, including State of Iowa Accounting Policies and Procedures, available at: <https://das.iowa.gov/state-accounting/sae-policies-procedures-manual>.
- 6.2. In addition to the requirements of Section 6.1, if a Governmental Entity procures or makes payments for Deliverables to or from a Third Party, such as a distributor or reseller, and not from the Contractor directly, any terms or conditions regarding pricing, payment, and/or interest shall be void, and payment to such Third Party shall relieve the

Governmental Entity of any obligation, responsibility, or liability related to the payment of any fees or payments due or owed for such Deliverables.

7. **Termination for Non-Appropriation.** Notwithstanding anything in any General Terms to the contrary, and in addition to any other termination provision(s) set forth therein, in the event of a Non-Appropriation Event, the applicable Governmental Entity may terminate any General Terms without advance notice and without penalty or liability. In the event of such termination, any further obligation owed to Contractor by the applicable Governmental Entity shall be limited by, and subject to, legally available funds. Notwithstanding anything in any General Terms to the contrary, nothing in this Amendment or any General Terms shall be construed to waive any clause regarding the availability or appropriation of funds.
8. **Compliance with Law.** Contractor represents, warrants, covenants, and promises that Contractor, Contractor Contractors, and Contractor Personnel have complied with, and shall continue to comply with, and, to the extent applicable, the Deliverables will comply with all applicable federal, state, foreign, and local laws, rules, regulations, codes, standards, ordinances, and orders, both generally and in connection with the performance of any General Terms, including the following:
  - 8.1. Those prohibiting discriminatory employment practices or related to equal opportunity in employment or affirmative action under federal or state law, rules, regulations, or orders, including Iowa Code chapter 216 and section 19B.7 and the rules of the Iowa Department of Administrative Services and the Iowa Civil Rights Commission. Upon the applicable Governmental Entity's or its designee's written request, the Contractor shall submit a copy of its affirmative action plan, containing goals, time specifications, accessibility plans, and policies as required by Iowa Administrative Code chapter 11—121.
  - 8.2. Those requiring the use of targeted small businesses as subcontractors and suppliers in connection with government contracts.
  - 8.3. Those pertaining to any permitting and licensure requirements in carrying out the work performed under any General Terms.
  - 8.4. Those relating to prevailing wages, occupational safety and health standards, payment of taxes, gift laws, and lobbying laws.
  - 8.5. Applicable provisions of Section 508 of the Rehabilitation Act of 1973, as amended, including Web Content Accessibility Guidelines (WCAG) 2.0, including any amendments thereto or any subsequent versions thereof, and all standards and requirements established by the Architectural and Transportation Barriers Access Board.
  - 8.6. All applicable I.T. Governance Document(s).
  - 8.7. To the extent a portion of the funding used to pay for the Deliverables is being provided through a grant from the Federal Government, any applicable federal requirements, including those found at 2 CFR 200.

The Contractor shall take such steps as necessary to ensure Contractor Contractors and Contractor Personnel are bound by the terms and conditions contained in this Section. Notwithstanding anything in this Amendment or any General Terms to the contrary, Contractor, Contractor Contractors, and Contractor Personnel's failure to fulfill any requirement set forth in this Section shall be regarded as a material breach and the applicable Governmental Entity may

cancel, terminate, or suspend, in whole or in part any General Terms, in whole or in part. In addition, the Contractor may be declared ineligible for future State contracts in accordance with authorized procedures or Contractor may be subject to other sanctions as provided by law or rule.

## 9. Confidential Information.

### 9.1. Contractor's Treatment of Confidential Information.

9.1.1. *Limited Access.* Customer Data shall at all times remain the property of the applicable Governmental Entity, and the applicable Governmental Entity shall retain exclusive rights thereto and ownership thereof. Contractor, Contractor Contractors, and Contractor Personnel may have access to Customer Data solely to the extent necessary to carry out their duties under any General Terms. Contractor, Contractor Contractors, or Contractor Personnel shall presume all Customer Data is considered confidential, hold all Customer Data in the strictest confidence, and permit the use of Customer Data solely for the purposes of providing Deliverables under any General Terms, subject to any restrictions set forth herein or in any state and federal laws, rules, regulations, standards, and orders applicable either during the Term or thereafter. Contractor, Contractor Contractors, and Contractor Personnel shall not gather, store, log, archive, use, or otherwise retain Customer Data in any manner other than as expressly authorized by any General Terms, and will not disclose, distribute, sell, commercially or politically exploit, share, rent, assign, lease, or otherwise transfer or disseminate Customer Data to any Third Party, except as expressly permitted hereunder or as Contractor may be expressly directed in advance in writing by the applicable Governmental Entity. Contractor, Contractor Contractors, and Contractor Personnel shall not remove from any Governmental Entity's facilities or retain a copy of any Customer Data unless such removal or retention is necessary to provide or perform Deliverables, to fulfill their obligations under any General Terms, or as otherwise approved in writing by the applicable Governmental Entity. The Contractor will immediately report the unauthorized disclosure of Customer Data to the applicable Governmental Entity.

9.1.2. *Destruction or Return of Customer Data.* On the applicable Governmental Entity's written request or upon expiration or termination of any General Terms for any reason, the Contractor will promptly:

9.1.2.1. After providing notice to the applicable Governmental Entity and subject to its prior written approval, return or destroy, at the applicable Governmental Entity's option, all Customer Data; and

9.1.2.2. Provide a notarized written statement to the applicable Governmental Entity certifying all Customer Data has been returned or destroyed to the Governmental Entity, whichever is applicable.

To the extent Contractor is required to destroy Customer Data pursuant to this Section, Customer Data shall be permanently deleted and shall not be recoverable, in accordance with National Institute of Standards and Technology ("NIST")-approved methods.

- 9.1.3. *Compelled Disclosures.* To the extent required by applicable law or by lawful order or requirement of a court or governmental authority of competent jurisdiction over Contractor, Contractor may disclose Customer Data to a Third Party in accordance with such law, order, or requirement, subject to the following conditions:
- 9.1.3.1. As soon as becoming aware of such law, order, or requirement, and no less than five (5) business days prior to disclosing Customer Data pursuant thereto, Contractor will notify the applicable Governmental Entity in writing, specifying the nature of and circumstances surrounding the contemplated disclosure, and forward any applicable process, including a subpoena, to the appropriate Governmental Entity for its review.
  - 9.1.3.2. Contractor will consult with the applicable Governmental Entity on the advisability of taking legally-available steps to resist or narrow any required response or disclosure.
  - 9.1.3.3. Contractor will use best efforts not to release Customer Data pending the outcome of any measures taken by the applicable Governmental Entity to contest, oppose, or otherwise seek to limit such disclosure by Contractor or any Third Party ultimately obtaining such Customer Data. The Contractor will cooperate with and aid the applicable Governmental Entity regarding such measures.
  - 9.1.3.4. Solely to the extent the Contractor is required to disclose Customer Data to a Third Party, Contractor will furnish only such portion of Customer Data as it is required to disclose and will exercise best efforts to obtain an order or other reliable assurances that Customer Data will be held in confidence by any Third Party to which it is disclosed.
  - 9.1.3.5. Notwithstanding any such compelled disclosure by Contractor, such compelled disclosure will not otherwise affect Contractor's obligations hereunder with respect to Customer Data so disclosed.

9.2. Treatment of Contractor's Confidential Information.

- 9.2.1. *Safeguarding Obligation.* Except as otherwise provided or contemplated herein, and subject to applicable state, federal, and/or international laws, rules, regulations, or orders (including Iowa Code Chapter 22 and any corresponding implementing rules, regulations, or orders), Governmental Entities shall not intentionally disclose Contractor's Confidential Information to a Third Party (excluding other Governmental Entities and Authorized Contractors) without the prior written consent of Contractor.
- 9.2.2. *Destruction or Return of Contractor's Confidential Information.* On termination or expiration of any General Terms, the applicable Governmental Entity shall, except to the extent otherwise required by applicable laws, rules, procedures, or record retention schedules/requirements, return or destroy, at the Contractor's option, all of the Contractor's Confidential Information (excluding items subject to any continuing licenses inuring to the benefit of the applicable

Governmental Entity hereunder or that are required for use of any Deliverables).

9.2.3. *Compelled Disclosures.* Notwithstanding and in addition to the foregoing, Governmental Entities may disclose Contractor's Confidential Information:

- 9.2.3.1. Pursuant to any legal, judicial, regulatory, or administrative proceedings, subpoena, summons, deposition, interrogatory, requests for documents, order, ruling, civil investigative demand, or other legal, administrative or regulatory processes;
- 9.2.3.2. Pursuant to any applicable laws, rules, or regulations;
- 9.2.3.3. If the applicable Governmental Entity reasonably determines such information is not a confidential record pursuant to Iowa Code Section 22.7 or other applicable laws, rules, and regulations; or
- 9.2.3.4. If the applicable Governmental Entity, in the Governmental Entity's sole discretion, determines Contractor has not provided or is unwilling to provide facts sufficient to enable the Governmental Entity to decide as to whether such information constitutes a confidential record under Iowa Code Section 22.7 or other applicable laws, rule, and regulations.

Prior to disclosing any of Contractor's Confidential Information as permitted above, a Governmental Entity shall provide reasonable notice to Contractor of the circumstances giving rise to such disclosure. In addition, the Contractor agrees to indemnify and hold harmless any Governmental Entity and its officers, directors, employees, officials, and agents from and against any and all claims, demands, liabilities, suits, actions, damages, losses, taxes, penalties, costs and expenses of every kind and nature whatsoever (including the reasonable value of time of the Attorney General's Office and the costs, expenses, and attorney fees of other counsel retained by or on behalf of the Governmental Entity) arising out of, resulting from, or in any way related to any judgments or damages awarded against any Governmental Entity in favor of the party requesting any of Contractor's Confidential Information.

9.3. Open Records and Electronic Discovery Requests and Records Retention. Contractor will, upon the applicable Governmental Entity's request and within any time period specified by the applicable Governmental Entity, take all actions requested by the Governmental Entity to assist it in complying timely with any request for Customer Data or other data or information that may be made by any Third Party in accordance with applicable public or open records laws (including Iowa Code Chapter 22) or in connection with any subpoena, court order, discovery request, regulatory or criminal investigation or proceeding, or any other matter that may require the Governmental Entity to produce or provide Customer Data or other data or information to a Third Party. Contractor will produce and provide all Customer Data or other data or information within the time period set forth in the Governmental Entity's request. Contractor will take all steps necessary to ensure Customer Data is stored and maintained in its original state so as to not create any spoliation, evidentiary, or electronic discovery issues. In addition, Contractor will, upon the applicable Governmental Entity's request, take all actions requested by the Governmental Entity to assist it in complying with any federal, state, or local record retention requirements, policies, procedures, or other requirements.



- 9.4. Ancillary Agreements and Non-Disclosure Agreements. Contractor or Contractor Contractors will execute any agreements to address any compliance, legal, confidentiality, or privacy concerns that may be unique to an applicable Governmental Entity making purchases hereunder, such as a Business Associate Agreement (“BAA”) or Criminal Justice Information System (“CJIS”) Security Addendum, or any other non-disclosure or confidentiality agreements in connection with any General Terms deemed necessary by the applicable Governmental Entity (“Ancillary Agreement(s)”).
- 9.5. Non-Exclusive Equitable Remedy. Each Party acknowledges and agrees that due to the unique nature of Confidential Information there can be no adequate remedy at law for any breach of its obligations hereunder, that any such breach or threatened breach may allow a Party or Third Parties to unfairly compete with the other Party resulting in irreparable harm to such Party, and therefore, that upon any such breach or any threat thereof, each Party, including any Governmental Entity, will be entitled to appropriate equitable remedies, and may seek injunctive relief from a court of competent jurisdiction without the necessity of proving actual loss, in addition to whatever remedies either of them might have at law or equity. Any breach of this Section will constitute a material breach of this Agreement and be grounds for immediate termination of any General Terms in the exclusive discretion of the non-breaching Party.
- 9.6. Survives Termination. Contractor’s duties as set forth in this Section shall survive termination of this Agreement and shall apply to all acts or omissions taken or made in connection with Contractor’s, Contractor Contractor’s, or Contractor Personnel’s performance of this Agreement regardless of the date any potential claim is made or discovered by a Governmental Entity.
- 10. Security Breach Notification.** The Contractor shall immediately inform the Participating Agency or OCIO, of any Security Breach or incident. It is within OCIO or the Participating Agency’s discretion to determine whether a particular incident is a security incident or a Security Breach. The Contractor shall promptly report a Security Breach or incident to OCIO and the Participating Agency when the breach affects the security of Customer Data.
- 11. Security Breach Responsibilities.** The Contractor shall comply with all applicable laws that require the notification of individuals in the event of a Security Breach. In the event of a Security Breach or other event requiring notification in accordance with applicable law, the Contractor shall: (a) share information relevant to the Security Breach with OCIO and the Participating Agency; (b) promptly implement necessary remedial measures; and (c) document responsive action related to the Security Breach. If the Security Breach requires public notice, all communication must be coordinated with OCIO and the Participating Agency. The Contractor is responsible for all notification and remedial costs and damages.
- 12. Use of Third Parties.** None of the Deliverables to be provided by the Contractor pursuant to any General Terms shall be subcontracted or delegated to any Third Party, including Contractor Contractors, without the prior written consent of the applicable Governmental Entity. Such consent shall not be deemed in any way to provide for the incurrence of any additional obligation of a Governmental Entity, whether financial or otherwise. Any subcontract to which a Governmental Entity has consented shall be in writing and shall in no way alter the terms and conditions of this Agreement. All subcontracts shall be subject to the terms and conditions of this Agreement and to any conditions of approval that the applicable Governmental Entity may deem necessary. The Contractor is solely liable for any and all payments that may be due to Contractor

Contractors pursuant to any subcontract. The Contractor shall indemnify and hold harmless the any Governmental Entity and their officers, directors, employees, officials, and agents from and against any and all claims, demands, liabilities, suits, actions, damages, losses, taxes, penalties, costs and expenses of every kind and nature whatsoever arising out of, resulting from, or in any way related to Contractor's breach of any subcontract into which it enters, including Contractor's failure to pay any and all amounts due to any Contractor Contractors. In addition, any Governmental Entity is not responsible for any failure of any Contractor Contractors to pay any amounts that may be due Contractor, and Contractor may not refuse to perform its obligations under this Agreement for any such failure. If Contractor fails, neglects, or refuses to pay promptly, as due, any claim for labor or services furnished to Contractor or any subcontractor by any person in connection with Deliverables performed or provided under any General Terms, the applicable Governmental Entity may pay such claim and charge the amount of the payment against funds due or to become due Contractor under any General Terms. The payment of a claim in such manner shall not relieve the Contractor or its surety from any obligation with respect to any unpaid claims. All subcontracts shall contain provisions that allow Governmental Entities making purchases hereunder to access the subcontractor's books, documents, and records and for inspections of work, as required of Contractor herein. No subcontract or delegation of work shall relieve or discharge the Contractor from any obligation, provision, or liability under this Agreement. Contractor shall remain responsible for such performance and shall be fully responsible and liable for all acts or omissions of any Contractor Contractors. Any action of Contractor Contractors, which, if done by Contractor, would constitute a breach of this Agreement, shall be deemed a breach by Contractor and have the same legal effect. The term "**Contractor**" as used in this Agreement shall, unless the context clearly requires to the contrary, be deemed to include Contractor Contractors and Contractor Personnel.

13. **Conflicts of Interest.** The Contractor represents, warrants and covenants that no relationship exists or will exist during the Term between Contractor, Contractor Contractors, or Contractor Personnel and any Governmental Entities that is or may constitute a conflict of interest or appearance of impropriety. To the extent applicable, the provisions of Iowa Code Chapter 68B shall apply to any General Terms, and Contractor, Contractor Contractors, and Contractor Personnel shall not engage in any conduct or permit any Third Party from engaging in any conduct that would violate that chapter.
14. **Limitation of Liability.** If the Terms contain any provision(s) limiting Contractor's liability or providing for sole and exclusive remedies, any such provision(s) shall be superseded by or subject to the following, as applicable: Notwithstanding anything in this Amendment or any General Terms to the contrary, and solely to the extent permitted by applicable laws, rules and regulations: (a) the maximum liability of either Party under this Agreement for direct damages shall be one times the Contract Value ("**Contract Value**" is defined as the aggregate total compensation to be paid by a Governmental Entity under the entire term of the Agreement, including all renewals and extensions); provided, however, under no circumstances shall the foregoing limitation or any other provision in this amendment or any General Terms that either limits Contractor's liability or provides for sole or exclusive remedies apply to any losses, damages, expenses, costs, settlement amounts, legal fees, judgments, actions, claims, or any other liability arising out of or relating to:
  - 14.1. Intentional torts, criminal acts, fraudulent conduct, intentional or willful misconduct, or gross negligence;
  - 14.2. Death, bodily injury, or damage to real or personal property;

- 14.3. Any contractual obligations of Contractor pertaining to indemnification; intellectual property; liquidated damages; compliance with applicable laws; confidential information; and/or Security Breach;
- 14.4. Claims arising under this Agreement calling for indemnification of the State or for third-party claims against the State for bodily injury to persons or for damage to real or tangible personal property caused by Contractor's negligence or willful conduct.

**15. Indemnification.**

- 15.1. Governmental Entities to Contractor. Notwithstanding anything in this Amendment or any General Terms to the contrary, Governmental Entities shall under no circumstances have any obligation to defend or indemnify Contractor or its subcontractors, agents, or other third parties acting on its behalf for any reason.
- 15.2. Contractor to Governmental Entities. Notwithstanding anything in this Amendment or any General Terms to the contrary, any obligation of Contractor to defend any Governmental Entity in any General Terms shall be replaced and superseded with an obligation to indemnify and hold harmless the applicable Governmental Entity and their employees, officers, board members, agents, representatives, and officials.

**16. Records Retention and Access.** The Contractor shall maintain books, documents and records that sufficiently and properly document the Contractor's performance under this Agreement, including records that document all fees and other amounts charged during the term of this Agreement, for a period of at least five (5) years following the later of the date of final payment, termination or expiration of this Agreement, or the completion of any required audit. The Contractor shall permit any Governmental Entity or its designee, and where federal funds are involved, the Comptroller General of the United States or any other authorized representative of the United States government, at no charge, to access and examine, audit, excerpt and transcribe any pertinent books, documents, electronic or optically stored and created records or other records of Contractor relating directly or indirectly to Contractor's performance under any General Terms. The Contractor shall not impose a charge or seek payment for any fee, charge, or expense associated with any audit or examination of such books, documents and records. The Contractor shall require Contractor Contractors to agree to the same provisions of this section.

**17. Reservation of Immunity.** Notwithstanding anything in any General Terms to the contrary, nothing in this Amendment or any General Terms shall be construed as waiving any immunity to suit or liability, in state or federal court, which may be available to any Governmental Entity, including sovereign immunity, governmental immunity, immunity based on the Eleventh Amendment to the Constitution of the United States, or otherwise.

**18. Choice of Law and Forum.** All General Terms shall be governed in all respects by, and construed in accordance with, the laws of the State of Iowa, without giving effect to the choice of law principles thereof. Any and all litigation or actions commenced in connection with any General Terms, including after expiration or termination of the same, shall be brought in Des Moines, Iowa, in Polk County District Court for the State of Iowa, if jurisdiction is proper. However, if jurisdiction is not proper in the Iowa District Court for Polk County, but is proper only in a United States District Court, the matter shall be commenced in the United States District Court for the Southern District of Iowa, Central Division. Contractor irrevocably: (i) consents and agrees that any legal or equitable action or proceeding arising under, in connection with or arising out of any General Terms shall be brought and maintained exclusively in the aforesaid courts; (ii) submits to

and accepts, with respect to any such action or proceeding, for it and in respect of its properties and assets regardless of the physical or legal situs thereof, generally and unconditionally, the jurisdiction of the aforesaid courts; and (iii) waives any objection to such jurisdiction based on forum nonconveniens or otherwise. Contractor irrevocably consents to service of process by certified or registered mail addressed to Contractor's designated agent. Contractor appoints [REDACTED] as its agent to receive service of process. If for any reason Contractor's agent for service is unable to act as such or the address of the agent changes, Contractor shall immediately appoint a new agent and provide applicable Governmental Entities with written notice of the change in agent or address. Any change in the appointment of the agent or address will be effective only upon actual receipt by the applicable Governmental Entity. Nothing in this provision will alter the right of any Governmental Entity to serve process in any other manner permitted by law. This Section shall survive termination of this Agreement.

- 19. RFP and Contractor's Proposal.** To the extent applicable, the Request for Proposal 1722219006 ("RFP") and Contractor's proposal in response to the RFP ("Proposal"), together with any clarifications, attachments, appendices, or amendments to the RFP and Proposal are incorporated into any General Terms by this reference as if fully set forth therein; provided, however, that none of the Contractor's exceptions, objections or proposed modifications respecting the RFP or any terms associated therewith (collectively "**Contractor Exceptions**") shall be incorporated therein unless expressly set forth herein. The terms and conditions of the RFP and of the Proposal are made contractual obligations of the Contractor, except that any Contractor Exceptions shall not be deemed to limit, modify or otherwise affect any of the contractual obligations of the Parties, unless expressly stated herein. In the case of any inconsistency or conflict between the specific provisions of this document, the RFP or the Proposal, any inconsistency or conflict shall be resolved as follows: first, by giving preference to the specific provisions of this document and any schedules, exhibits or other attachments; second, by giving preference to the specific provisions of the RFP; and third, by giving preference to the specific provisions of the Proposal (excluding any Contractor Exceptions that are not expressly made a part of this Agreement). The references to the Parties' obligations, which are contained in this document, are intended to change, modify, supplement or clarify the obligations as stated in the RFP and the Proposal. The failure of the parties to refer to the terms of the RFP or Proposal in this document shall not be construed as creating a conflict and will not relieve the Contractor of the contractual obligations imposed by the terms of the RFP and the Proposal. Terms offered or stated in the Proposal, which exceeds the requirements of the RFP, shall not be construed as creating an inconsistency or conflict with the RFP or this document. Notwithstanding anything herein to the contrary, the applicable Governmental Entity shall have only those obligations that are expressly stated in this document, and the Proposal does not create any express or implied obligations of the State.
- 20. Independent Contractor.** The Contractor is an independent contractor providing Deliverables to Governmental Entities.
- 21. Not a Joint Venture.** Nothing in any General Terms shall be construed as creating or constituting the relationship of the partnership, joint venture (or other association of any kind or agent/principal relationship) between the Parties hereto. No Party, unless otherwise specifically provided for herein, has the authority to enter into any agreement or create an obligation or liability on behalf of, in the name of, or binding upon, another Party.
- 22. No Third-Party Beneficiaries.** There are no third-party beneficiaries to any General Terms.

- 23. Severability.** If any provision of this Amendment is determined by a court of competent jurisdiction to be invalid or unenforceable, such determination shall not affect the validity or enforceability of any other part or provision of this Amendment.
- 24. Captions and Terms.** Unless the context otherwise clearly requires, references to the plural include the singular, references to the singular include the plural, and the word “or” has the inclusive meaning represented by the phrase “and/or.” The words “include” and “including” shall be deemed to be followed by the phrase “without limitation.”
- 25. Cumulative Rights.** The various rights, powers, options, elections and remedies of any party provided in this Agreement, shall be construed as cumulative and not one of them is exclusive of the others or exclusive of any rights, remedies or priorities allowed either party by law, and shall in no way affect or impair the right of any party to pursue any other equitable or legal remedy to which any party may be entitled. Any terms in any General Terms to the contrary, establishing a sole and exclusive remedy, are null and void.
- 26. Multiple Counterparts.** This Amendment may be executed in several counterparts, all of which when taken together shall amend all General Terms, notwithstanding that all Parties are not signatories to the same counterpart. Each copy of this Amendment so executed shall constitute an original.