



**STATE OF TENNESSEE  
DEPARTMENT OF HEALTH**

**REQUEST FOR PROPOSALS  
FOR  
CONTROLLED SUBSTANCE MONITORING DATABASE AND  
DATA COLLECTION**

**RFP # 34310-21124**

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## 1. INTRODUCTION

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The State of Tennessee, Department of Health, hereinafter referred to as “the State,” issues this Request for Proposals (RFP) to define minimum contract requirements; solicit responses; detail response requirements; and, outline the State’s process for evaluating responses and selecting a contractor to provide the needed goods or services.

Through this RFP, the State seeks to procure necessary goods or services at the most favorable, competitive prices and to give ALL qualified respondents, including those that are owned by minorities, women, service-disabled veterans, persons with disabilities and small business enterprises, an opportunity to do business with the State as contractors, subcontractors or suppliers.

### 1.1. Statement of Procurement Purpose

In accordance with the Controlled Substance Monitoring Act of 2002, a database to monitor the dispensing of Schedule II, III, IV & V controlled substances, was established. Data collection began for all dispensers on December 1, 2006. The Prescription Safety Acts of 2012 and 2016 enhanced the monitoring capabilities of the database.

The State seeks a contractor-hosted solution to maintain the Controlled Substance Monitoring Database (CSMD), which is required by Tennessee Code Annotated (TCA) §53-10-304, and is a data repository that collects, maintains, and reports Schedule II, III, IV, and V controlled substance prescription data dispensed in the State of Tennessee. Generally, dispensers are required to upload all controlled substance prescriptions daily as TCA §53-10-305(b)(2) requires a controlled substance prescription upload “each business day but no later than the close of business on the following business day.”

The CSMD is a secure database that contains data about controlled substance prescriptions that are dispensed in Tennessee. Pharmacies and other dispensers are required by law to submit data about the dispensing events to Tennessee Data Collection. Authorized users can access the data in the database to verify their patients’ prescription histories before prescribing or dispensing controlled substances. Fundamentally, CSMD and Tennessee Data Collection are data repositories that are relied upon to provide accurate prescription history data. Use of CSMD information can improve patient care and safety by preventing the misuse, abuse, and diversion of prescription controlled substance drugs while ensuring patients receive the medical care they need.

Some of the requirements of the Contractor are highlighted below. Please note these requirements are intended to illustrate the State’s current expectations for the System.

The System shall be hosted by the Contractor, and the Contractor shall provide System maintenance and support on an as-needed basis including a new software, software updates, and software patches, as well as a twenty-four (24) hour helpdesk.

The Contractor shall provide all training and training materials in the operation of the Dispensation Data Collection and the CSMD applications at no cost to the State.

The Contractor shall work with the State and the State’s existing contractor to perform data conversion or migration from the current System used for the CSMD to the new System for the CSMD which will be a potentially new data structure at no cost to the State and for Dispensation Data Collection to the new System for Dispensation Data Collection which will be a potentially new data structure at no cost to the State.

The Contractor shall develop and administer the Dispensation Data Collection and CSMD applications. This will include, but not be limited to, the functionality listed below for Dispensation Data Collection and the CSMD in Attachment 6.6 (Pro Forma Contract) and Attachment 1 (Tennessee Prescription Drug Monitoring Program (PDMP) System Requirements Matrix)). All definitions applicable to Attachment 1 are found in Attachment 6.6, Section A.2.

The System must interface to validate, at no cost to the State, at a minimum, with the following data sources. The System must be able to validate at the time of data entry or file processing:

1. DEA registrant information; and
2. TN Department of Health, Division of Health-Related Board professional licensure data; and
3. TN Department of Safety Driver License data; and
4. NDC information that includes therapeutic class code; and
5. NPI numbers; and
6. ICD-10 codes; and
7. US Postal Service address standardization data.

- 1.1.2. The total expenditure for the sixty (60) month contract shall not exceed more than five million dollars (\$5,000,000)

## 1.2. **Scope of Service, Contract Period, & Required Terms and Conditions**

The RFP Attachment 6.6., *Pro Forma* Contract details the State's requirements:

- Scope of Services and Deliverables (Section A);
- Contract Period (Section B);
- Payment Terms (Section C);
- Standard Terms and Conditions (Section D); and,
- Special Terms and Conditions (Section E).

The *pro forma* contract substantially represents the contract document that the successful Respondent must sign.

## 1.3. **Nondiscrimination**

No person shall be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of a Contract pursuant to this RFP or in the employment practices of the Contractor on the grounds of handicap or disability, age, race, creed, color, religion, sex, national origin, or any other classification protected by federal, Tennessee state constitutional, or statutory law. The Contractor pursuant to this RFP shall, upon request, show proof of such nondiscrimination and shall post in conspicuous places, available to all employees and applicants, notices of nondiscrimination.

## 1.4. **RFP Communications**

- 1.4.1. The State has assigned the following RFP identification number that must be referenced in all communications regarding this RFP:

**RFP # 34310-21124**

- 1.4.2. **Unauthorized contact about this RFP with employees or officials of the State of Tennessee except as detailed below may result in disqualification from consideration under this procurement process.**

- 1.4.2.1. Prospective Respondents must direct communications concerning this RFP to the following person designated as the Solicitation Coordinator:

Simeon Ayton, Sourcing Account Specialist

Division of General Services  
 Central Procurement Office  
 Tennessee Tower, 3<sup>rd</sup> Floor  
 312 Rose L. Parks Ave  
 Nashville, TN 37243-1102  
 615-532-0110  
[Simeon.Ayton@tn.gov](mailto:Simeon.Ayton@tn.gov)

1.4.2.2. Notwithstanding the foregoing, Prospective Respondents may alternatively contact:

- a. staff of the Governor's Office of Diversity Business Enterprise for assistance available to minority-owned, woman-owned, service-disabled veteran-owned, businesses owned by persons with disabilities, and small businesses as well as general, public information relating to this RFP (visit <https://www.tn.gov/generalservices/procurement/central-procurement-office--cpo-/governor-s-office-of-diversity-business-enterprise--godbe--/godbe-general-contacts.html> for contact information); and
- b. the following individual designated by the State to coordinate compliance with the nondiscrimination requirements of the State of Tennessee, Title VI of the Civil Rights Act of 1964, the Americans with Disabilities Act of 1990, and associated federal regulations:

Helen Crowley, Compliance Team Lead  
 Division of General Services  
 Central Procurement Office  
 WRS Tennessee Tower, 3<sup>rd</sup> Floor  
 312 Rosa L. Parks Avenue  
 Nashville, TN 37243-1102  
 (615) 741-3836  
[Helen.Crowley@tn.gov](mailto:Helen.Crowley@tn.gov)

- 1.4.3. Only the State's official, written responses and communications with Respondents are binding with regard to this RFP. Oral communications between a State official and one or more Respondents are unofficial and non-binding.
- 1.4.4. Potential Respondents must ensure that the State receives all written questions and comments, including questions and requests for clarification, no later than the Written Questions & Comments Deadline detailed in the RFP Section 2, Schedule of Events.
- 1.4.5. Respondents must assume the risk of the method of dispatching any communication or response to the State. The State assumes no responsibility for delays or delivery failures resulting from the Respondent's method of dispatch. Actual or digital "postmarking" of a communication or response to the State by a specified deadline is not a substitute for the State's actual receipt of a communication or response. It is encouraged for Respondents to submit bids digitally.
- 1.4.6. The State will convey all official responses and communications related to this RFP to the prospective Respondents from whom the State has received a Notice of Intent to Respond (refer to RFP Section 1.8).
- 1.4.7. The State reserves the right to determine, at its sole discretion, the method of conveying official, written responses and communications related to this RFP. Such written communications may be transmitted by mail, hand-delivery, facsimile, electronic mail, Internet posting, or any other means deemed reasonable by the State. For internet posting, please refer to the following website: <https://www.tn.gov/generalservices/procurement/central-procurement-office--cpo-/supplier-information/request-for-proposals--rfp--opportunities1.html>.

- 1.4.8. The State reserves the right to determine, at its sole discretion, the appropriateness and adequacy of responses to written comments, questions, and requests related to this RFP. The State's official, written responses will constitute an amendment of this RFP.
- 1.4.9. Any data or factual information provided by the State (in this RFP, an RFP amendment or any other communication relating to this RFP) is for informational purposes only. The State will make reasonable efforts to ensure the accuracy of such data or information, however it is the Respondent's obligation to independently verify any data or information provided by the State. The State expressly disclaims the accuracy or adequacy of any information or data that it provides to prospective Respondents.

#### 1.5. **Assistance to Respondents With a Handicap or Disability**

Prospective Respondents with a handicap or disability may receive accommodation relating to the communication of this RFP and participating in the RFP process. Prospective Respondents may contact the Solicitation Coordinator to request such reasonable accommodation no later than the Disability Accommodation Request Deadline detailed in the RFP Section 2, Schedule of Events.

#### 1.6. **Respondent Required Review & Waiver of Objections**

- 1.6.1. Each prospective Respondent must carefully review this RFP, including but not limited to, attachments, the RFP Attachment 6.6., *Pro Forma* Contract, and any amendments, for questions, comments, defects, objections, or any other matter requiring clarification or correction (collectively called "questions and comments").
- 1.6.2. Any prospective Respondent having questions and comments concerning this RFP must provide them in writing to the State no later than the Written Questions & Comments Deadline detailed in the RFP Section 2, Schedule of Events.
- 1.6.3. Protests based on any objection to the RFP shall be considered waived and invalid if the objection has not been brought to the attention of the State, in writing, by the Written Questions & Comments Deadline.

#### 1.7. **Pre-Response Conference**

A Pre-response Conference will be held at the time and date detailed in the RFP Section 2, Schedule of Events. Pre-response Conference attendance is not mandatory, and prospective Respondents may be limited to a maximum number of attendees depending upon overall attendance and space limitations.

The conference will be held at:

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## Microsoft Teams [Need help?](#)

### [Join the meeting now](#)

Meeting ID: 256 324 923 202

Passcode: bc3rf7rR

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### Dial in by phone

[+1 629-209-4396,497782220#](#) United States, Triune

[Find a local number](#)

Phone conference ID: 497 782 220#

## Join on a video conferencing device

Tenant key: [stateoftn@m.webex.com](mailto:stateoftn@m.webex.com)

Video ID: 119 406 568 9

[More info](#)

For organizers: [Meeting options](#) | [Reset dial-in PIN](#)

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The purpose of the conference is to discuss the RFP scope of goods or services. The State will entertain questions, however prospective Respondents must understand that the State's oral response to any question at the Pre-response Conference shall be unofficial and non-binding. Prospective Respondents must submit all questions, comments, or other concerns regarding the RFP in writing prior to the Written Questions & Comments Deadline date detailed in the RFP Section 2, Schedule of Events. The State will send the official response to these questions and comments to prospective Respondents from whom the State has received a Notice of Intent to respond as indicated in RFP Section 1.8. and on the date detailed in the RFP Section 2, Schedule of Events.

### 1.8. Notice of Intent to Respond

Before the Notice of Intent to Respond Deadline detailed in the RFP Section 2, Schedule of Events, prospective Respondents should submit to the Solicitation Coordinator a Notice of Intent to Respond (in the form of a simple e-mail or other written communication). Such notice should include the following information:

- the business or individual's name (as appropriate);
- a contact person's name and title; and
- the contact person's mailing address, telephone number, facsimile number, and e-mail address.

**A Notice of Intent to Respond creates no obligation and is not a prerequisite for submitting a response, however, it is necessary to ensure receipt of any RFP amendments or other notices and communications relating to this RFP.**

### 1.9. Response Deadline

A Respondent must ensure that the State receives a response no later than the Response Deadline time and date detailed in the RFP Section 2, Schedule of Events. The State will not accept late responses, and a Respondent's failure to submit a response before the deadline will result in disqualification of the response. It is the responsibility of the Respondent to ascertain any additional security requirements with respect to packaging and delivery to the State of Tennessee. Respondents should be mindful of any potential delays due to security screening procedures, weather, or other filing delays whether foreseeable or unforeseeable.

## 2. RFP SCHEDULE OF EVENTS

2.1. The following RFP Schedule of Events represents the State's best estimate for this RFP.

EVENT	TIME (central time zone)	DATE
1. RFP Issued		January 3, 2025
2. Disability Accommodation Request Deadline	2:00 p.m.	January 8, 2025
3. Pre-response Conference	10:00 a.m.	January 9, 2025
4. Notice of Intent to Respond Deadline	2:00 p.m.	January 10, 2025
5. Written "Questions & Comments" Deadline	2:00 p.m.	January 16, 2025
6. State Response to Written "Questions & Comments"		February 10, 2025
7. Response Deadline	2:00 p.m.	February 18, 2025
8. State Schedules Respondent Oral Presentation or Field Test		February 20, 2025
9. Respondent Oral Presentation or Field Test	8 a.m. - 4:30 p.m.	February 24, 2025
10. State Completion of Technical Response Evaluations		March 7, 2025
11. State Opening & Scoring of Cost Proposals	2:00 p.m.	March 11, 2025
12. Negotiations (Optional)	4:30 p.m.	March 11-14, 2025
13. State Notice of Intent to Award Released and RFP Files Opened for Public Inspection	2:00 p.m.	March 18, 2025
14. End of Protest Period		March 25, 2025
15. State sends contract to Contractor for signature		March 27, 2025
16. Contractor Signature Deadline	2:00 p.m.	March 29, 2025

2.2. **The State reserves the right, at its sole discretion, to adjust the RFP Schedule of Events as it deems necessary.** Any adjustment of the Schedule of Events shall constitute an RFP amendment, and the State will communicate such to prospective Respondents from whom the State has received a Notice of Intent to Respond (refer to section 1.8.).

### 3. RESPONSE REQUIREMENTS

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#### 3.1. Response Form

A response to this RFP must consist of two parts, a Technical Response and a Cost Proposal.

- 3.1.1. **Technical Response.** RFP Attachment 6.2., Technical Response & Evaluation Guide provides the specific requirements for submitting a response. This guide includes mandatory requirement items, general qualifications and experience items, and technical qualifications, experience, and approach items all of which must be addressed with a written response and, in some instances, additional documentation.

**NOTICE: A technical response must not include any pricing or cost information. If any pricing or cost information amounts of any type (even pricing relating to other projects) is included in any part of the technical response, the state may deem the response to be non-responsive and reject it.**

- 3.1.1.1. A Respondent should duplicate and use the RFP Attachment 6.2., Technical Response & Evaluation Guide to organize, reference, and draft the Technical Response by duplicating the attachment, adding appropriate page numbers as required, and using the guide as a table of contents covering the Technical Response.
- 3.1.1.2. A response should be economically prepared, with emphasis on completeness and clarity. A response, as well as any reference material presented, must be written in English and must be written on standard 8 ½" x 11" pages (although oversize exhibits are permissible) and use a 12 point font for text. All response pages must be numbered.
- 3.1.1.3. All information and documentation included in a Technical Response should correspond to or address a specific requirement detailed in the RFP Attachment 6.2., Technical Response & Evaluation Guide. All information must be incorporated into a response to a specific requirement and clearly referenced. Any information not meeting these criteria will be deemed extraneous and will not contribute to evaluations.
- 3.1.1.4. The State may determine a response to be non-responsive and reject it if:
- a. the Respondent fails to organize and properly reference the Technical Response as required by this RFP and the RFP Attachment 6.2., Technical Response & Evaluation Guide; or
  - b. the Technical Response document does not appropriately respond to, address, or meet all of the requirements and response items detailed in the RFP Attachment 6.2., Technical Response & Evaluation Guide.
- 3.1.2. **Cost Proposal.** A Cost Proposal must be recorded on an exact duplicate of the RFP Attachment 6.3., Cost Proposal & Scoring Guide.

**NOTICE: If a Respondent fails to submit a cost proposal exactly as required, the State may deem the response to be non-responsive and reject it.**

- 3.1.2.1. A Respondent must only record the proposed cost exactly as required by the RFP Attachment 6.3., Cost Proposal & Scoring Guide and must NOT record any other rates, amounts, or information.



- 3.1.2.2. The proposed cost shall incorporate ALL costs for services under the contract for the total contract period, including any renewals or extensions.
- 3.1.2.3. A Respondent must sign and date the Cost Proposal.
- 3.1.2.4. A Respondent must submit the Cost Proposal to the State in a sealed package separate from the Technical Response (as detailed in RFP Sections 3.2.3., *et seq.*).

### 3.2. Response Delivery

- 3.2.1. A Respondent must ensure that both the Technical Response and Cost Proposal files meet all form and content requirements, including all required signatures, as detailed within this RFP.
- 3.2.2. A Respondent must submit their response as specified in one of the two formats below.

#### 3.2.2.1. Digital Media Submission

##### 3.2.2.1.1. Technical Response

The Technical Response document should be in the form of one (1) digital document in "PDF" format properly recorded on its own otherwise blank, standard CD-R recordable disc or USB flash drive and should be clearly identified as the:

**"RFP #34310-21124 TECHNICAL RESPONSE ORIGINAL"**

and one (1) digital copies of the Technical Response each in the form of one (1) digital document in "PDF" format properly recorded on its own otherwise blank, standard CD-R recordable disc or USB flash drive clearly labeled:

**"RFP # 34310-21124 TECHNICAL RESPONSE COPY"**

The customer references should be delivered by each reference in accordance with RFP Attachment 6.4. Reference Questionnaire.

##### 3.2.2.1.2. Cost Proposal:

The Cost Proposal should be in the form of one (1) digital document in "PDF" or "XLS" format properly recorded on a separate, otherwise blank, standard CD-R recordable disc or USB flash drive clearly labeled:

**"RFP #34310-21124 COST PROPOSAL"**

An electronic or facsimile signature, as applicable, on the Cost Proposal is acceptable.

#### 3.2.2.2. E-mail Submission

##### 3.2.2.2.1. Technical Response

The Technical Response document should be in the form of one (1) digital document in "PDF" format or other easily accessible digital format attached to an e-mail to the Solicitation Coordinator. Both the subject and file name should be clearly identified as follows:

**"RFP #34310-21124 TECHNICAL RESPONSE"**

The customer references should be delivered by each reference in accordance with RFP Attachment 6.4. Reference Questionnaire.

#### 3.2.2.2.2. Cost Proposal:

The Cost Proposal should be in the form of one (1) digital document in “PDF” or “XLS” format or other easily accessible digital format attached to an e-mail to the Solicitation Coordinator. Both the subject and file name should be clearly identified as follows:

#### **“RFP #34310-21124 COST PROPOSAL”**

An electronic or facsimile signature, as applicable, on the Cost Proposal is acceptable.

- 3.2.3. For e-mail submissions, the Technical Response and Cost Proposal documents must be dispatched to the Solicitation Coordinator in separate e-mail messages. For digital media submissions, a Respondent must separate, seal, package, and label the documents and copies for delivery as follows:

- 3.2.3.1. The Technical Response and copies must be placed in a sealed package that is clearly labeled:

#### **“DO NOT OPEN... RFP # 34310-21124 TECHNICAL RESPONSE FROM [RESPONDENT LEGAL ENTITY NAME]”**

- 3.2.3.2. The Cost Proposal must be placed in a separate, sealed package that is clearly labeled:

#### **“DO NOT OPEN... RFP # 34310-21124 COST PROPOSAL FROM [RESPONDENT LEGAL ENTITY NAME]”**

- 3.2.3.3. The separately, sealed Technical Response and Cost Proposal components may be enclosed in a larger package for mailing or delivery, provided that the outermost package is clearly labeled:

#### **“RFP # 34310-21124 SEALED TECHNICAL RESPONSE & SEALED COST PROPOSAL FROM [RESPONDENT LEGAL ENTITY NAME]”**

- 3.2.3.4. Any Respondent wishing to submit a Response in a format other than digital may do so by contacting the Solicitation Coordinator.

- 3.2.4. A Respondent must ensure that the State receives a response no later than the Response Deadline time and date detailed in the RFP Section 2, Schedule of Events at the following address:

Simeon Ayton, Sourcing Account Specialist  
Division of General Services  
Central Procurement Office  
Tennessee Tower, 3<sup>rd</sup> Floor  
312 Rose L. Parks Ave.  
Nashville, TN 37243-1102  
Telephone: 615-532-0110  
Email: [Simeon.Ayton@tn.gov](mailto:Simeon.Ayton@tn.gov)

### 3.3. **Response & Respondent Prohibitions**

- 3.3.1. A response must not include alternate contract terms and conditions. If a response contains such terms and conditions, the State, at its sole discretion, may determine the response to be a non-responsive counteroffer and reject it.

- 3.3.2. A response must not restrict the rights of the State or otherwise qualify either the offer to deliver goods or provide services as required by this RFP or the Cost Proposal. If a response restricts the rights of the State or otherwise qualifies either the offer to deliver goods or provide services as required by this RFP or the Cost Proposal, the State, at its sole discretion, may determine the response to be a non-responsive counteroffer and reject it.
- 3.3.3. A response must not propose alternative goods or services (*i.e.*, offer services different from those requested and required by this RFP) unless expressly requested in this RFP. The State may consider a response of alternative goods or services to be non-responsive and reject it.
- 3.3.4. A Cost Proposal must be prepared and arrived at independently and must not involve any collusion between Respondents. The State will reject any Cost Proposal that involves collusion, consultation, communication, or agreement between Respondents. Regardless of the time of detection, the State will consider any such actions to be grounds for response rejection or contract termination.
- 3.3.5. A Respondent must not provide, for consideration in this RFP process or subsequent contract negotiations, any information that the Respondent knew or should have known was materially incorrect. If the State determines that a Respondent has provided such incorrect information, the State will deem the Response non-responsive and reject it.
- 3.3.6. A Respondent must not submit more than one Technical Response and one Cost Proposal in response to this RFP, except as expressly requested by the State in this RFP. If a Respondent submits more than one Technical Response or more than one Cost Proposal, the State will deem all of the responses non-responsive and reject them.
- 3.3.7. A Respondent must not submit a response as a prime contractor while also permitting one or more other Respondents to offer the Respondent as a subcontractor in their own responses. Such may result in the disqualification of all Respondents knowingly involved. This restriction does not, however, prohibit different Respondents from offering the same subcontractor as a part of their responses (provided that the subcontractor does not also submit a response as a prime contractor).
- 3.3.8. The State shall not consider a response from an individual who is, or within the past six (6) months has been, a State employee. For purposes of this RFP:
  - 3.3.8.1. An individual shall be deemed a State employee until such time as all compensation for salary, termination pay, and annual leave has been paid;
  - 3.3.8.2. A contract with or a response from a company, corporation, or any other contracting entity in which a controlling interest is held by any State employee shall be considered to be a contract with or proposal from the employee; and
  - 3.3.8.3. A contract with or a response from a company, corporation, or any other contracting entity that employs an individual who is, or within the past six (6) months has been, a State employee shall not be considered a contract with or a proposal from the employee and shall not constitute a prohibited conflict of interest.
- 3.3.9. This RFP is also subject to Tenn. Code Ann. § 12-4-101—105.

#### 3.4. **Response Errors & Revisions**

A Respondent is responsible for any and all response errors or omissions. A Respondent will not be allowed to alter or revise response documents after the Response Deadline time and date detailed in the RFP Section 2, Schedule of Events unless such is formally requested, in writing, by the State.

### 3.5. **Response Withdrawal**

A Respondent may withdraw a submitted response at any time before the Response Deadline time and date detailed in the RFP Section 2, Schedule of Events by submitting a written request signed by an authorized Respondent representative. After withdrawing a response, a Respondent may submit another response at any time before the Response Deadline. After the Response Deadline, a Respondent may only withdraw all or a portion of a response where the enforcement of the response would impose an unconscionable hardship on the Respondent.

### 3.6. **Additional Services**

If a response offers goods or services in addition to those required by and described in this RFP, the State, at its sole discretion, may add such services to the contract awarded as a result of this RFP. Notwithstanding the foregoing, a Respondent must not propose any additional cost amounts or rates for additional goods or services. Regardless of any additional services offered in a response, the Respondent's Cost Proposal must only record the proposed cost as required in this RFP and must not record any other rates, amounts, or information.

**NOTICE: If a Respondent fails to submit a Cost Proposal exactly as required, the State may deem the response non-responsive and reject it.**

### 3.7. **Response Preparation Costs**

The State will not pay any costs associated with the preparation, submittal, or presentation of any response.

## 4. GENERAL CONTRACTING INFORMATION & REQUIREMENTS

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### 4.1. RFP Amendment

The State at its sole discretion may amend this RFP, in writing, at any time prior to contract award. However, prior to any such amendment, the State will consider whether it would negatively impact the ability of potential Respondents to meet the response deadline and revise the RFP Schedule of Events if deemed appropriate. If an RFP amendment is issued, the State will convey it to potential Respondents who submitted a Notice of Intent to Respond (refer to RFP Section 1.8.). A response must address the final RFP (including its attachments) as amended.

### 4.2. RFP Cancellation

The State reserves the right, at its sole discretion, to cancel the RFP or to cancel and reissue this RFP in accordance with applicable laws and regulations.

### 4.3. State Right of Rejection

4.3.1. Subject to applicable laws and regulations, the State reserves the right to reject, at its sole discretion, any and all responses.

4.3.2. The State may deem as non-responsive and reject any response that does not comply with all terms, conditions, and performance requirements of this RFP. Notwithstanding the foregoing, the State reserves the right to waive, at its sole discretion, minor variances from full compliance with this RFP. If the State waives variances in a response, such waiver shall not modify the RFP requirements or excuse the Respondent from full compliance, and the State may hold any resulting Contractor to strict compliance with this RFP.

### 4.4. Assignment & Subcontracting

4.4.1. The Contractor may not subcontract, transfer, or assign any portion of the Contract awarded as a result of this RFP without prior approval of the State. The State reserves the right to refuse approval, at its sole discretion, of any subcontract, transfer, or assignment.

4.4.2. If a Respondent intends to use subcontractors, the response to this RFP must specifically identify the scope and portions of the work each subcontractor will perform (refer to RFP Attachment 6.2., Section B, General Qualifications & Experience Item B.14.).

4.4.3. Subcontractors identified within a response to this RFP will be deemed as approved by the State unless the State expressly disapproves one or more of the proposed subcontractors prior to signing the Contract.

4.4.4. After contract award, a Contractor may only substitute an approved subcontractor at the discretion of the State and with the State's prior, written approval.

4.4.5. Notwithstanding any State approval relating to subcontracts, the Respondent who is awarded a contract pursuant to this RFP will be the prime contractor and will be responsible for all work under the Contract.

### 4.5. Right to Refuse Personnel or Subcontractors

The State reserves the right to refuse, at its sole discretion and notwithstanding any prior approval, any personnel of the prime contractor or a subcontractor providing goods or services in the performance of a contract resulting from this RFP. The State will document in writing the reason(s) for any rejection of personnel.

#### 4.6. Insurance

The State will require the awarded Contractor to provide a Certificate of Insurance issued by an insurance company licensed or authorized to provide insurance in the State of Tennessee. Each Certificate of Insurance shall indicate current insurance coverages meeting minimum requirements as may be specified by this RFP. A failure to provide a current, Certificate of Insurance will be considered a material breach and grounds for contract termination.

#### 4.7. Professional Licensure and Department of Revenue Registration

- 4.7.1. All persons, agencies, firms, or other entities that provide legal or financial opinions, which a Respondent provides for consideration and evaluation by the State as a part of a response to this RFP, shall be properly licensed to render such opinions.
- 4.7.2. Before the Contract resulting from this RFP is signed, the apparent successful Respondent (and Respondent employees and subcontractors, as applicable) must hold all necessary or appropriate business or professional licenses to provide the goods or services as required by the contract. The State may require any Respondent to submit evidence of proper licensure.
- 4.7.3. Before the Contract resulting from this RFP is signed, the apparent successful Respondent must be registered with the Tennessee Department of Revenue for the collection of Tennessee sales and use tax. The State shall not award a contract unless the Respondent provides proof of such registration or provides documentation from the Department of Revenue that the Contractor is exempt from this registration requirement. The foregoing is a mandatory requirement of an award of a contract pursuant to this solicitation. To register, please visit the Department of Revenue's Tennessee Taxpayer Access Point (TNTAP) website for Online Registration and the Vendor Contract Questionnaire. These resources are available at the following:  
<https://tntap.tn.gov/eservices/#1>

#### 4.8. Disclosure of Response Contents

- 4.8.1. All materials submitted to the State in response to this RFP shall become the property of the State of Tennessee. Respondents are cautioned not to provide any materials in response to this RFP that are trade secrets, as defined under Tenn. Code Ann. § 47-25-1702 and any other applicable law. By submitting a response to this RFP, the respondent acknowledges and agrees that the State shall have no liability whatsoever for disclosure of a trade secret under the Uniform Trade Secrets Act, as provided at Tenn. Code Ann. § 47-25-1701-1709, or under any other applicable law. Selection or rejection of a response does not affect this right. By submitting a response, a Respondent acknowledges and accepts that the full response contents and associated documents will become open to public inspection in accordance with the laws of the State of Tennessee.
- 4.8.2. The State will hold all response information, including both technical and cost information, in confidence during the evaluation process.
- 4.8.3. Upon completion of response evaluations, indicated by public release of a Notice of Intent to Award, the responses and associated materials will be open for review by the public in accordance with Tenn. Code Ann. § 10-7-504(a)(7).

#### 4.9. Contract Approval and Contract Payments

- 4.9.1. After contract award, the Contractor who is awarded the contract must submit appropriate documentation with the Department of Finance and Administration, Division of Accounts.
- 4.9.2. This RFP and its contractor selection processes do not obligate the State and do not create rights, interests, or claims of entitlement in either the Respondent with the apparent best-evaluated response or any other Respondent. State obligations pursuant to a contract award shall commence only after the Contract is signed by the State agency head and the Contractor

and after the Contract is approved by all other state officials as required by applicable laws and regulations.

- 4.9.3. No payment will be obligated or made until the relevant Contract is approved as required by applicable statutes and rules of the State of Tennessee.

4.9.3.1. The State shall not be liable for payment of any type associated with the Contract resulting from this RFP (or any amendment thereof) or responsible for any goods delivered or services rendered by the Contractor, even goods delivered or services rendered in good faith and even if the Contractor is orally directed to proceed with the delivery of goods or the rendering of services, if it occurs before the Contract Effective Date or after the Contract Term.

4.9.3.2. All payments relating to this procurement will be made in accordance with the Payment Terms and Conditions of the Contract resulting from this RFP (refer to RFP Attachment 6.6., *Pro Forma* Contract, Section C).

4.9.3.3. If any provision of the Contract provides direct funding or reimbursement for the competitive purchase of goods or services as a component of contract performance or otherwise provides for the reimbursement of specified, actual costs, the State will employ all reasonable means and will require all such documentation that it deems necessary to ensure that such purchases were competitive and costs were reasonable, necessary, and actual. The Contractor shall provide reasonable assistance and access related to such review. Further, the State shall not remit, as funding or reimbursement pursuant to such provisions, any amounts that it determines do not represent reasonable, necessary, and actual costs.

#### 4.10. **Contractor Performance**

The Contractor who is awarded a contract will be responsible for the delivery of all acceptable goods or the satisfactory completion of all services set out in this RFP (including attachments) as may be amended. All goods or services are subject to inspection and evaluation by the State. The State will employ all reasonable means to ensure that goods delivered or services rendered are in compliance with the Contract, and the Contractor must cooperate with such efforts.

#### 4.11. **Contract Amendment**

After Contract award, the State may request the Contractor to deliver additional goods or perform additional services within the general scope of the Contract and this RFP, but beyond the specified Scope, and for which the Contractor may be compensated. In such instances, the State will provide the Contractor a written description of the additional goods or services. The Contractor must respond to the State with a time schedule for delivering the additional goods or accomplishing the additional services based on the compensable units included in the Contractor's response to this RFP. If the State and the Contractor reach an agreement regarding the goods or services and associated compensation, such agreement must be effected by means of a contract amendment. Further, any such amendment requiring additional goods or services must be signed by both the State agency head and the Contractor and must be approved by other state officials as required by applicable statutes, rules, policies and procedures of the State of Tennessee. The Contractor must not provide additional goods or render additional services until the State has issued a written contract amendment with all required approvals.

Notwithstanding the above, *pro forma* Contract section A.5. provides for limited service "change orders" without a formal Contract Amendment upon the documented mutual agreement by the Parties.

#### 4.12. **Severability**

If any provision of this RFP is declared by a court to be illegal or in conflict with any law, said decision will not affect the validity of the remaining RFP terms and provisions, and the rights and obligations of the

State and Respondents will be construed and enforced as if the RFP did not contain the particular provision held to be invalid.

4.13. **Next Ranked Respondent**

The State reserves the right to initiate negotiations with the next ranked Respondent should the State cease doing business with any Respondent selected via this RFP process.



## 5. EVALUATION & CONTRACT AWARD

### 5.1. Evaluation Categories & Maximum Points

The State will consider qualifications, experience, technical approach, and cost in the evaluation of responses and award points in each of the categories detailed below (up to the maximum evaluation points indicated) to each response deemed by the State to be responsive.

EVALUATION CATEGORY	MAXIMUM POINTS POSSIBLE
<b>General Qualifications &amp; Experience</b> (refer to RFP Attachment 6.2., Section B)	<b>20</b>
<b>Technical Qualifications, Experience &amp; Approach</b> (refer to RFP Attachment 6.2., Section C)	<b>40</b>
<b>Oral Presentation &amp; Solution Demonstration</b> (refer to RFP Attachment 6.2., Section D)	<b>10</b>
<b>Cost Proposal</b> (refer to RFP Attachment 6.3.)	<b>30</b>

### 5.2. Evaluation Process

The evaluation process is designed to award the contract resulting from this RFP not necessarily to the Respondent offering the lowest cost, but rather to the Respondent deemed by the State to be responsive and responsible who offers the best combination of attributes based upon the evaluation criteria. ("Responsive Respondent" is defined as a Respondent that has submitted a response that conforms in all material respects to the RFP. "Responsible Respondent" is defined as a Respondent that has the capacity in all respects to perform fully the contract requirements, and the integrity and reliability which will assure good faith performance.)

5.2.1. **Technical Response Evaluation.** The Solicitation Coordinator and the Proposal Evaluation Team (consisting of three (3) or more State employees) will use the RFP Attachment 6.2., Technical Response & Evaluation Guide to manage the Technical Response Evaluation and maintain evaluation records.

5.2.1.1. The State reserves the right, at its sole discretion, to request Respondent clarification of a Technical Response or to conduct clarification discussions with any or all Respondents. Any such clarification or discussion will be limited to specific sections of the response identified by the State. The subject Respondent must put any resulting clarification in writing as may be required and in accordance with any deadline imposed by the State.

5.2.1.2. The Solicitation Coordinator will review each Technical Response to determine compliance with RFP Attachment 6.2., Technical Response & Evaluation Guide, Section A— Mandatory Requirements. If the Solicitation Coordinator determines that a response failed to meet one or more of the mandatory requirements, the Solicitation Coordinator will review the response and determine whether:

- a. the response adequately meets RFP requirements for further evaluation;
- b. the State will request clarifications or corrections for consideration prior to further evaluation; or,

- c. the State will determine the response to be non-responsive to the RFP and reject it.
- 5.2.1.3. Proposal Evaluation Team members will independently evaluate each Technical Response (that is responsive to the RFP) against the evaluation criteria in this RFP, and will score each in accordance with the RFP Attachment 6.2., Technical Response & Evaluation Guide.
- 5.2.1.4. For each response evaluated, the Solicitation Coordinator will calculate the average of the Proposal Evaluation Team member scores for RFP Attachment 6.2., Technical Response & Evaluation Guide, and record each average as the response score for the respective Technical Response section.
- 5.2.1.5. The Solicitation Coordinator will invite each apparently responsive and responsible Respondent to make an Oral Presentation.
  - 5.2.1.5.1. The Oral Presentations are mandatory. The Solicitation Coordinator will schedule Respondent Presentations during the period indicated by the RFP Section 2, Schedule of Events. The Solicitation Coordinator will make every effort to accommodate each Respondent's schedules. When the Respondent Presentation schedule has been determined, the Solicitation Coordinator will contact Respondents with the relevant information as indicated by RFP Section 2, Schedule of Events.
  - 5.2.1.5.2. Respondent Presentations are only open to the invited Respondent, Proposal Evaluation Team members, the Solicitation Coordinator, and any technical consultants who are selected by the State to provide assistance to the Proposal Evaluation Team.
  - 5.2.1.5.3. Oral Presentations provide an opportunity for Respondents to explain and clarify their responses and for the State to test to better understand the practical application of the good or service as applicable. Respondents must not materially alter their responses and Presentations will be limited to addressing the items detailed in RFP Attachment 6.2., Technical Response & Evaluation Guide. Respondent pricing shall not be discussed or provided during Oral Presentations.
  - 5.2.1.5.4. The State will maintain an accurate record of each Respondent's Oral Presentation session. The record of the Respondent's Oral Presentation shall be available for review when the State opens the procurement files for public inspection.
  - 5.2.1.5.5. Proposal Evaluation Team members will independently evaluate each Oral Presentation in accordance with the RFP Attachment 6.2., Technical Response & Evaluation Guide, Section D.
  - 5.2.1.5.6. The Solicitation Coordinator will calculate and document the average of the Proposal Evaluation Team member scores for RFP Attachment 6.2., Technical Response & Evaluation Guide, Section D, and record that number as the score for Respondent's Technical Response section.
- 5.2.1.6. Before Cost Proposals are opened, the Proposal Evaluation Team will review the Technical Response Evaluation record and any other available information pertinent to whether or not each Respondent is responsive and responsible. If the Proposal Evaluation Team identifies any Respondent that does not meet the responsive and responsible thresholds such that the team would not recommend the Respondent for Cost Proposal Evaluation and potential contract award, the team members will fully document the determination.

- 5.2.2. **Cost Proposal Evaluation.** The Solicitation Coordinator will open for evaluation the Cost Proposal of each Respondent deemed by the State to be responsive and responsible and calculate and record each Cost Proposal score in accordance with the RFP Attachment 6.3., Cost Proposal & Scoring Guide.
- 5.2.3. **Clarifications and Negotiations:** The State reserves the right to award a contract on the basis of initial responses received, therefore, each response shall contain the Respondent's best terms and conditions from a technical and cost standpoint. The State reserves the right to conduct clarifications or negotiations with one or more Respondents. All communications, clarifications, and negotiations shall be conducted in a manner that supports fairness in response improvement.
- 5.2.3.1. **Clarifications:** The State may identify areas of a response that may require further clarification or areas in which it is apparent that there may have been miscommunications or misunderstandings as to the State's specifications or requirements. The State may seek to clarify those issues identified during one or multiple clarification rounds. Each clarification sought by the State may be unique to an individual Respondent, provided that the process is conducted in a manner that supports fairness in response improvement.
- 5.2.3.2. **Negotiations:** The State may elect to negotiate with one or more Respondents by requesting revised responses, negotiating costs, or finalizing contract terms and conditions. The State reserves the right to conduct multiple negotiation rounds or no negotiations at all.
- 5.2.3.3. **Cost Negotiations:** All Respondents, selected for negotiation by the State, will be given equivalent information with respect to cost negotiations. All cost negotiations will be documented for the procurement file. Additionally, the State may conduct target pricing and other goods or services level negotiations. Target pricing may be based on considerations such as current pricing, market considerations, benchmarks, budget availability, or other methods that do not reveal individual Respondent pricing. During target price negotiations, Respondents are not obligated to reduce their pricing to target prices, but no Respondent is allowed to increase prices.
- 5.2.3.4. If the State determines that it is unable to successfully negotiate terms and conditions of a contract with the apparent best evaluated Respondent, the State reserves the right to bypass the apparent best evaluated Respondent and enter into terms and conditions contract negotiations with the next apparent best evaluated Respondent.
- 5.2.4. **Total Response Score.** The Solicitation Coordinator will calculate the sum of the Technical Response section scores and the Cost Proposal score and record the resulting number as the total score for the subject Response (refer to RFP Attachment 6.5., Score Summary Matrix).

### 5.3. **Contract Award Process**

- 5.3.1 The Solicitation Coordinator will review the Proposal Evaluation Team determinations and scores for consideration along with any other relevant information that might be available and pertinent to contract award.
- 5.3.2. The Solicitation Coordinator will determine the apparent best-evaluated Response using the scoring provided by the Proposal Evaluation Team. To effect a contract award to a Respondent other than the one receiving the highest evaluation process score, the Solicitation Coordinator must provide written justification and obtain the written approval of the Chief Procurement Officer and the Comptroller of the Treasury.

- 5.3.3. The State will issue a Notice of Intent to Award identifying the apparent best-evaluated response and make the RFP files available for public inspection at the time and date specified in the RFP Section 2, Schedule of Events.

**NOTICE: The Notice of Intent to Award shall not create rights, interests, or claims of entitlement in either the apparent best-evaluated Respondent or any other Respondent.**

- 5.3.4. The Respondent identified as offering the apparent best-evaluated response must sign a contract drawn by the State pursuant to this RFP. The Contract shall be substantially the same as the RFP Attachment 6.6., *Pro Forma* Contract. The Respondent must sign the contract by the Contractor Signature Deadline detailed in the RFP Section 2, Schedule of Events. If the Respondent fails to provide the signed Contract by this deadline, the State may determine that the Respondent is non-responsive to this RFP and reject the response.
- 5.3.5. Notwithstanding the foregoing, the State may, at its sole discretion, entertain limited terms and conditions or pricing negotiations prior to Contract signing and, as a result, revise the *pro forma* contract terms and conditions or performance requirements in the State's best interests, PROVIDED THAT such revision of terms and conditions or performance requirements shall NOT materially affect the basis of response evaluations or negatively impact the competitive nature of the RFP and contractor selection process.
- 5.3.6. If the State determines that a response is non-responsive and rejects it after opening Cost Proposals, the Solicitation Coordinator will re-calculate scores for each remaining responsive Cost Proposal to determine (or re-determine) the apparent best-evaluated response.

**RFP ATTACHMENT 6.1.****RFP # 34310-21224 STATEMENT OF CERTIFICATIONS AND ASSURANCES**

The Respondent must sign and complete the Statement of Certifications and Assurances below as required, and it must be included in the Technical Response (as required by RFP Attachment 6.2., Technical Response & Evaluation Guide, Section A, Item A.1.).

**The Respondent does, hereby, expressly affirm, declare, confirm, certify, and assure ALL of the following:**

1. The Respondent will comply with all of the provisions and requirements of the RFP.
2. The Respondent will provide all services as defined in the Scope of the RFP Attachment 6.6., *Pro Forma* Contract for the total Contract Term.
3. The Respondent, except as otherwise provided in this RFP, accepts and agrees to all terms and conditions set out in the RFP Attachment 6.6., *Pro Forma* Contract.
4. The Respondent acknowledges and agrees that a contract resulting from the RFP shall incorporate, by reference, all proposal responses as a part of the Contract.
5. The Respondent will comply with:
  - (a) the laws of the State of Tennessee;
  - (b) Title VI of the federal Civil Rights Act of 1964;
  - (c) Title IX of the federal Education Amendments Act of 1972;
  - (d) the Equal Employment Opportunity Act and the regulations issued there under by the federal government; and,
  - (e) the Americans with Disabilities Act of 1990 and the regulations issued there under by the federal government.
6. To the knowledge of the undersigned, the information detailed within the response submitted to this RFP is accurate.
7. The response submitted to this RFP was independently prepared, without collusion, under penalty of perjury.
8. No amount shall be paid directly or indirectly to an employee or official of the State of Tennessee as wages, compensation, or gifts in exchange for acting as an officer, agent, employee, subcontractor, or consultant to the Respondent in connection with this RFP or any resulting contract.
9. Both the Technical Response and the Cost Proposal submitted in response to this RFP shall remain valid for at least 120 days subsequent to the date of the Cost Proposal opening and thereafter in accordance with any contract pursuant to the RFP.
10. The Respondent affirms the following statement, as required by the Iran Divestment Act Tenn. Code Ann. § 12-12-111: "By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief that each bidder is not on the list created pursuant to §12-12-106." For reference purposes, the list is currently available online at: <https://www.tn.gov/generalservices/procurement/central-procurement-office--cpo-/library-/public-information-library.html>.

By signing this Statement of Certifications and Assurances, below, the signatory also certifies legal authority to bind the proposing entity to the provisions of this RFP and any contract awarded pursuant to it. If the signatory is not the Respondent (if an individual) or the Respondent's company *President* or *Chief Executive Officer*, this document must attach evidence showing the individual's authority to bind the Respondent.

**DO NOT SIGN THIS DOCUMENT IF YOU ARE NOT LEGALLY AUTHORIZED TO BIND THE RESPONDENT**

**SIGNATURE:**

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**PRINTED NAME & TITLE:**

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**DATE:**

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**RESPONDENT LEGAL ENTITY  
NAME:**

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**RFP ATTACHMENT 6.2. — Section A****TECHNICAL RESPONSE & EVALUATION GUIDE**

**SECTION A: MANDATORY REQUIREMENTS.** The Respondent must address all items detailed below and provide, in sequence, the information and documentation as required (referenced with the associated item references). The Respondent must also detail the response page number for each item in the appropriate space below.

The Solicitation Coordinator will review the response to determine if the Mandatory Requirement Items are addressed as required and mark each with pass or fail. For each item that is not addressed as required, the Solicitation Coordinator must review the response and attach a written determination. In addition to the Mandatory Requirement Items, the Solicitation Coordinator will review each response for compliance with all RFP requirements.

<b>RESPONDENT LEGAL ENTITY NAME:</b>			
<b>Response Page # (Respondent completes)</b>	<b>Item Ref.</b>	<b>Section A— Mandatory Requirement Items</b>	<b>Pass/Fail</b>
		The Response must be delivered to the State no later than the Response Deadline specified in the RFP Section 2, Schedule of Events.	
		The Technical Response and the Cost Proposal documentation must be packaged separately as required (refer to RFP Section 3.2., <i>et. seq.</i> ).	
		The Technical Response must NOT contain cost or pricing information of any type.	
		The Technical Response must NOT contain any restrictions of the rights of the State or other qualification of the response.	
		A Respondent must NOT submit alternate responses (refer to RFP Section 3.3.).	
		A Respondent must NOT submit multiple responses in different forms (as a prime and a subcontractor) (refer to RFP Section 3.3.).	
	<b>A.1.</b>	Provide the Statement of Certifications and Assurances (RFP Attachment 6.1.) completed and signed by an individual empowered to bind the Respondent to the provisions of this RFP and any resulting contract. The document must be signed without exception or qualification.	
	<b>A.2.</b>	Provide a statement, based upon reasonable inquiry, of whether the Respondent or any individual who shall cause to deliver goods or perform services under the contract has a possible conflict of interest ( <i>e.g.</i> , employment by the State of Tennessee) and, if so, the nature of that conflict.  NOTE: Any questions of conflict of interest shall be solely within the discretion of the State, and the State reserves the right to cancel any award.	
	<b>A.3.</b>	In addition to completing the RFP, the Respondent shall also fully complete Attachment 1 (Tennessee Prescription Drug Monitoring Program (PDMP) System Requirements Matrix)) and include Attachment 1 in its entirety, including all answers, as part of the response to this RFP. All definitions applicable to Attachment 1 are found in Attachment 6.6 (Pro Forma Contract), Section A.2. Attachment 1 may be returned in Excel or as a PDF.	
	<b>A.4.</b>	Provide a current bank reference indicating that the Respondent's business relationship with the financial institution is in positive standing. Such	

**RFP ATTACHMENT 6.2. — SECTION B (continued)**

<b>RESPONDENT LEGAL ENTITY NAME:</b>			
<b>Response Page # (Respondent completes)</b>	<b>Item Ref.</b>	<b>Section A— Mandatory Requirement Items</b>	<b>Pass/Fail</b>
		reference must be written in the form of a standard business letter, signed, and dated within the past three (3) months.	
	<b>A.5.</b>	Provide two current positive credit references from vendors with which the Respondent has done business written in the form of standard business letters, signed, and dated within the past three (3) months.	
<i>State Use – Solicitation Coordinator Signature, Printed Name &amp; Date:</i>			

**RFP ATTACHMENT 6.2. — SECTION B****TECHNICAL RESPONSE & EVALUATION GUIDE**

**SECTION B: GENERAL QUALIFICATIONS & EXPERIENCE.** The Respondent must address all items detailed below and provide, in sequence, the information and documentation as required (referenced with the associated item references). The Respondent must also detail the response page number for each item in the appropriate space below. Proposal Evaluation Team members will independently evaluate and assign one score for all responses to Section B— General Qualifications & Experience Items.

<b>RESPONDENT LEGAL ENTITY NAME:</b>			
<b>Response Page # (Respondent completes)</b>	<b>Item Ref.</b>	<b>Section B— General Qualifications &amp; Experience Items</b>	
	<b>B.1.</b>	Detail the name, e-mail address, mailing address, telephone number, and facsimile number, if applicable, of the person the State should contact regarding the response.	
	<b>B.2.</b>	Describe the Respondent's form of business ( <i>i.e.</i> , individual, sole proprietor, corporation, non-profit corporation, partnership, limited liability company) and business location (physical location or domicile).	
	<b>B.3.</b>	Detail the number of years the Respondent has been in business.	
	<b>B.4.</b>	Briefly describe how long the Respondent has been providing the goods or services required by this RFP.	
	<b>B.5.</b>	Describe the Respondent's number of employees, client base, and location of offices.	
	<b>B.6.</b>	Provide a statement of whether there have been any mergers, acquisitions, or change of control of the Respondent within the last ten (10) years. If so, include an explanation providing relevant details.	
	<b>B.7.</b>	Provide a statement of whether the Respondent or, to the Respondent's knowledge, any of the Respondent's employees, agents, independent contractors, or subcontractors, involved in the delivery of goods or performance of services on a contract pursuant to this RFP, have been	

## RFP ATTACHMENT 6.2. — SECTION B (continued)

<b>RESPONDENT LEGAL ENTITY NAME:</b>		
<b>Response Page #</b> (Respondent completes)	<b>Item Ref.</b>	<b>Section B— General Qualifications &amp; Experience Items</b>
		convicted of, pled guilty to, or pled <i>nolo contendere</i> to any felony. If so, include an explanation providing relevant details.
	<b>B.8.</b>	Provide a statement of whether, in the last ten (10) years, the Respondent has filed (or had filed against it) any bankruptcy or insolvency proceeding, whether voluntary or involuntary, or undergone the appointment of a receiver, trustee, or assignee for the benefit of creditors. If so, include an explanation providing relevant details.
	<b>B.9.</b>	<p>Provide a statement of whether there is any material, pending litigation against the Respondent that the Respondent should reasonably believe could adversely affect its ability to meet contract requirements pursuant to this RFP or is likely to have a material adverse effect on the Respondent's financial condition. If such exists, list each separately, explain the relevant details, and attach the opinion of counsel addressing whether and to what extent it would impair the Respondent's performance in a contract pursuant to this RFP.</p> <p>NOTE: All persons, agencies, firms, or other entities that provide legal opinions regarding the Respondent must be properly licensed to render such opinions. The State may require the Respondent to submit proof of license for each person or entity that renders such opinions.</p>
	<b>B.10.</b>	<p>Provide a statement of whether there are any pending or in progress Securities Exchange Commission investigations involving the Respondent. If such exists, list each separately, explain the relevant details, and attach the opinion of counsel addressing whether and to what extent it will impair the Respondent's performance in a contract pursuant to this RFP.</p> <p>NOTE: All persons, agencies, firms, or other entities that provide legal opinions regarding the Respondent must be properly licensed to render such opinions. The State may require the Respondent to submit proof of license for each person or entity that renders such opinions.</p>
	<b>B.11.</b>	Provide a brief, descriptive statement detailing evidence of the Respondent's ability to deliver the goods or services sought under this RFP (e.g., prior experience, training, certifications, resources, program and quality management systems, etc.).
	<b>B.12.</b>	Provide a narrative description of the proposed project team, its members, and organizational structure along with an organizational chart identifying the key people who will be assigned to deliver the goods or services required by this RFP.
	<b>B.13.</b>	Provide a personnel roster listing the names of key people who the Respondent will assign to meet the Respondent's requirements under this RFP along with the estimated number of hours that each individual will devote to that performance. Follow the personnel roster with a resume for each of the people listed. The resumes must detail the individual's title, education, current position with the Respondent, and employment history.
	<b>B.14.</b>	<p>Provide a statement of whether the Respondent intends to use subcontractors to meet the Respondent's requirements of any contract awarded pursuant to this RFP, and if so, detail:</p> <p>(a) the names of the subcontractors along with the contact person, mailing address, telephone number, and e-mail address for each;</p> <p>(b) a description of the scope and portions of the goods each subcontractor involved in the delivery of goods or performance of the services each subcontractor will perform; and</p> <p>(c) a statement specifying that each proposed subcontractor has expressly assented to being proposed as a subcontractor in the Respondent's response to this RFP.</p>
	<b>B.15.</b>	Provide documentation of the Respondent's commitment to diversity as represented by the following:



## RFP ATTACHMENT 6.2. — SECTION B (continued)

<b>RESPONDENT LEGAL ENTITY NAME:</b>		
<b>Response Page #</b> (Respondent completes)	<b>Item Ref.</b>	<b>Section B— General Qualifications &amp; Experience Items</b>
		<p>(a) <u>Business Strategy</u>. Provide a description of the Respondent's existing programs and procedures designed to encourage and foster commerce with business enterprises owned by minorities, women, service-disabled veterans, persons with disabilities, and small business enterprises. Please also include a list of the Respondent's certifications as a diversity business, if applicable.</p> <p>(b) <u>Business Relationships</u>. Provide a listing of the Respondent's current contracts with business enterprises owned by minorities, women, service-disabled veterans, persons with disabilities, and small business enterprises. Please include the following information:</p> <ul style="list-style-type: none"> <li>(i) contract description;</li> <li>(ii) contractor name and ownership characteristics (i.e., ethnicity, gender, service-disabled veteran-owned or persons with disabilities);</li> <li>(iii) contractor contact name and telephone number.</li> </ul> <p>(c) <u>Estimated Participation</u>. Provide an estimated level of participation by business enterprises owned by minorities, women, service-disabled veterans, persons with disabilities and small business enterprises if a contract is awarded to the Respondent pursuant to this RFP. Please include the following information:</p> <ul style="list-style-type: none"> <li>(i) a percentage (%) indicating the participation estimate. (Express the estimated participation number as a percentage of the total estimated contract value that will be dedicated to business with subcontractors and supply contractors having such ownership characteristics only and <b>DO NOT INCLUDE DOLLAR AMOUNTS</b>);</li> <li>(ii) anticipated goods or services contract descriptions;</li> <li>(iii) names and ownership characteristics (i.e., ethnicity, gender, service-disabled veterans, or disability) of anticipated subcontractors and supply contractors.</li> </ul> <p>NOTE: In order to claim status as a Diversity Business Enterprise under this contract, businesses must be certified by the Governor's Office of Diversity Business Enterprise (Go-DBE). Please visit the Go-DBE website at <a href="https://tn.diversitysoftware.com/FrontEnd/StartCertification.asp?TN=tn&amp;XID=9810">https://tn.diversitysoftware.com/FrontEnd/StartCertification.asp?TN=tn&amp;XID=9810</a> for more information.</p> <p>(d) <u>Workforce</u>. Provide the percentage of the Respondent's total current employees by ethnicity and gender.</p> <p>NOTE: Respondents that demonstrate a commitment to diversity will advance State efforts to expand opportunity to do business with the State as contractors and subcontractors. Response evaluations will recognize the positive qualifications and experience of a Respondent that does business with enterprises owned by minorities, women, service-disabled veterans, persons with disabilities, and small business enterprises and who offer a diverse workforce.</p>
	<b>B.16.</b>	<p>Provide a statement of whether or not the Respondent has any current contracts with the State of Tennessee or has completed any contracts with the State of Tennessee within the previous five (5) year period. If so, provide the following information for all of the current and completed contracts:</p> <ul style="list-style-type: none"> <li>(a) the name, title, telephone number and e-mail address of the State contact knowledgeable about the contract;</li> <li>(b) the procuring State agency name;</li> <li>(c) a brief description of the contract's scope of services;</li> <li>(d) the contract period; and</li> <li>(e) the contract number.</li> </ul>

## RFP ATTACHMENT 6.2. — SECTION B (continued)

<b>RESPONDENT LEGAL ENTITY NAME:</b>		
<b>Response Page #</b> (Respondent completes)	<b>Item Ref.</b>	<b>Section B— General Qualifications &amp; Experience Items</b>
	<b>B.17.</b>	<p>Provide a statement and any relevant details addressing whether the Respondent is any of the following:</p> <ul style="list-style-type: none"> <li>(a) is presently debarred, suspended, proposed for debarment, or voluntarily excluded from covered transactions by any federal or state department or agency;</li> <li>(b) has within the past three (3) years, been convicted of, or had a civil judgment rendered against the contracting party from commission of fraud, or a criminal offence in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or grant under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;</li> <li>(c) is presently indicted or otherwise criminally or civilly charged by a government entity (federal, state, or local) with commission of any of the offenses detailed above; and</li> <li>(d) has within a three (3) year period preceding the contract had one or more public transactions (federal, state, or local) terminated for cause or default.</li> </ul>
<b>SCORE (for <u>all</u> Section B—Qualifications &amp; Experience Items above):</b> (maximum possible score = 20)		
<i>State Use – Evaluator Identification:</i>		

## RFP ATTACHMENT 6.2. — SECTION C

## TECHNICAL RESPONSE &amp; EVALUATION GUIDE

**SECTION C: TECHNICAL QUALIFICATIONS, EXPERIENCE & APPROACH.** The Respondent must address all items (below) and provide, in sequence, the information and documentation as required (referenced with the associated item references). The Respondent must also detail the response page number for each item in the appropriate space below.

A Proposal Evaluation Team, made up of three or more State employees, will independently evaluate and score the response to each item. Each evaluator will use the following whole number, raw point scale for scoring each item:

**0 = little value      1 = poor      2 = fair      3 = satisfactory      4 = good      5 = excellent**

The Solicitation Coordinator will multiply the Item Score by the associated Evaluation Factor (indicating the relative emphasis of the item in the overall evaluation). The resulting product will be the item's Raw Weighted Score for purposes of calculating the section score as indicated.

<b>RESPONDENT LEGAL ENTITY NAME:</b>					
Response Page # (Respondent completes)	Item Ref.	Section C— Technical Qualifications, Experience & Approach Items	Item Score	Evaluation Factor	Raw Weighted Score
	<b>C.1.</b>	Provide a narrative that illustrates the Respondent's understanding of the State's requirements and project timeline.		<b>10</b>	
	<b>C.2.</b>	Provide a narrative that illustrates how the Respondent will complete the scope of services, accomplish required objectives, meet the State's project timeline and ensure project deliverables are completed successfully and on time.		<b>20</b>	
	<b>C.3.</b>	<p>Provide a narrative that illustrates how the Respondent will manage the project, ensure completion of the scope of services, and accomplish required objectives within the State's project timeline. The narrative must illustrate the Respondent's understanding of the requirements documented in Attachment 6.6., <i>Pro Forma</i> Contract, Sections A.3. through A.5.</p> <p>At minimum, include:</p> <ul style="list-style-type: none"> <li>a. Confirmation that the Respondent understands the project kickoff requirements and Project Approach document</li> <li>b. A proposed Project Schedule that includes all Payment Milestones and associated Deliverables, including State review time periods for draft and final Deliverables</li> <li>c. All assumptions and constraints that support the Project Schedule and project risks, as well as proposed steps to mitigate those risks as required to complete the work within the requested time frame</li> </ul>		<b>20</b>	
	<b>C.4.</b>	<p>Provide a narrative that describes up to three (3) states/territories/entities in which the Respondent has implemented and maintained a PDMP. For each project, include:</p> <ul style="list-style-type: none"> <li>a. Client Name, e.g., State of Tennessee, etc.</li> </ul>		<b>20</b>	

RESPONDENT LEGAL ENTITY NAME:					
Response Page # (Respondent completes)	Item Ref.	Section C— Technical Qualifications, Experience & Approach Items	Item Score	Evaluation Factor	Raw Weighted Score
		b. Name of the project, e.g., Controlled Substance Monitoring Database (CSMD), etc. c. Brief description of the project d. Size of the project in terms of: # users, # patients/customers, # patient records, # locations e. Technology platform and architecture f. Interfaces/interoperability with other applications or organizations, e.g., interstate data sharing hubs, use of ASAP standards, pharmacy interoperability, integration with EHRs and pharmacy management systems. If this functionality was provided, was the service provided to an unlimited number of users (all user roles)? Were there additional charges to the client for each? g. Length of the project and the implementation date h. The services and activities the Respondent performed for the project and the activities the customer performed i. If the system is still in use today, identify the maintenance and support services provider j. The standards or best practices being met by the solution(s) k. Explain how this experience is relevant to this RFP scope and how the experience can be leveraged to help the State during the contract term			
	<b>C.5.</b>	Provide a narrative that illustrates the Respondent's understanding of the Administrative Functionality requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.a. and Attachment 1, subcategories Administrative Functionality and Auditing, Exemption, Registration, Validation including the following: a. The Respondent's overall approach to the requirements b. Provide examples of how these requirements are currently provided or can be developed		<b>15</b>	
	<b>C.6.</b>	Provide a narrative that illustrates the Respondent's understanding of the Algorithms requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.b. and Attachment 1, subcategory Algorithms including the following: a. The Respondent's overall approach to the requirements b. Provide examples of how these requirements are currently provided or can be developed		<b>15</b>	

RESPONDENT LEGAL ENTITY NAME:					
Response Page # (Respondent completes)	Item Ref.	Section C— Technical Qualifications, Experience & Approach Items	Item Score	Evaluation Factor	Raw Weighted Score
	<b>C.7.</b>	<p>Provide a narrative that illustrates the Respondent's understanding of the Authorization to Modify requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.c. and Attachment 1, subcategory Authorization to Modify including the following:</p> <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>		<b>5</b>	
	<b>C.8.</b>	<p>Provide a narrative that illustrates the Respondent's understanding of the Clinical Risk Indicators requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.d. and Attachment 1, subcategory Clinical Risk Indicator including the following:</p> <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>		<b>10</b>	
	<b>C.9.</b>	<p>Provide a narrative that illustrates the Respondent's understanding of the Customer Support requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.e. and Attachment 1, subcategories Customer Support, Meetings including the following:</p> <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>		<b>15</b>	
	<b>C.10.</b>	<p>Provide a narrative that illustrates the Respondent's understanding of the Dashboard requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.f. and Attachment 1, subcategories Dashboard, KPI, System Availability including the following:</p> <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>		<b>10</b>	

RESPONDENT LEGAL ENTITY NAME:					
Response Page # (Respondent completes)	Item Ref.	Section C— Technical Qualifications, Experience & Approach Items	Item Score	Evaluation Factor	Raw Weighted Score
	<b>C.11.</b>	<p>Provide a narrative that illustrates the Respondent's understanding of the Data Access requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.g. and Attachment 1, subcategories Data Access, Login Page, User, User Profile, User Query including the following:</p> <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>		<b>20</b>	
	<b>C.12.</b>	<p>Provide a narrative that illustrates the Respondent's understanding of the Data Collection requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.h. and Attachment 1, subcategories Data Collection, Dispensation Submission, PDMP/Data Collection including the following:</p> <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>		<b>20</b>	
	<b>C.13.</b>	<p>Provide a narrative that illustrates the Respondent's understanding of the Interoperability requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.i. and Attachment 1, subcategories Integration, Methodology, Resources, and Technology, Steering Committee including the following:</p> <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>		<b>20</b>	
	<b>C.14.</b>	<p>Provide a narrative that illustrates the Respondent's understanding of the Documentation requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.j. and Attachment 1, subcategory Documentation including the following:</p> <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> </ul>		<b>15</b>	

RESPONDENT LEGAL ENTITY NAME:					
Response Page # (Respondent completes)	Item Ref.	Section C— Technical Qualifications, Experience & Approach Items	Item Score	Evaluation Factor	Raw Weighted Score
		b. Provide examples of how these requirements are currently provided or can be developed			
	<b>C.15.</b>	Provide a narrative that illustrates the Respondent's understanding of the IP Addresses requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.k. and Attachment 1, subcategory Hosting including the following: <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>		<b>5</b>	
	<b>C.16.</b>	Provide a narrative that illustrates the Respondent's understanding of the System requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.l. and Attachment 1, subcategories System, Environments, PDMP, SRS Server including the following: <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>		<b>10</b>	
	<b>C.17.</b>	Provide a narrative that illustrates the Respondent's understanding of the PDMP Legal Requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.m. and Attachment 1, subcategory Data Sharing including the following: <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>		<b>20</b>	
	<b>C.18.</b>	Provide a narrative that illustrates the Respondent's understanding of the Reports and Documentation requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.n. and Attachment 1, subcategories Reports and Documentation, Data Extracts, Patient Record, State Admin Report, Supervisor Audits, User Report including the following:		<b>20</b>	

RESPONDENT LEGAL ENTITY NAME:					
Response Page # (Respondent completes)	Item Ref.	Section C— Technical Qualifications, Experience & Approach Items	Item Score	Evaluation Factor	Raw Weighted Score
		<ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> <li>c. Any reports available (developed by the Contractor or created ad hoc by a State administrator) in the Solution must have the option to be exported in CSV and PDF formats.</li> </ul>			
	<b>C.19.</b>	<p>Provide a narrative that illustrates the Respondent's understanding of the Customer Support Ticket Solution requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.o. and Attachment 1, subcategories Communications, System Communications including the following:</p> <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>		<b>10</b>	
	<b>C.20.</b>	<p>Provide a narrative that illustrates the Respondent's understanding of the Security of Data requirements documented in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.p and Attachment 1, subcategories Security, Security and Disaster Recovery, Audit, Database Replicas, Disaster Recovery, Dispenser Compliance including but not limited to:</p> <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the design focusing on configuration rather than customization to meet the needs</li> <li>b. Collaboration strategies with the State and other stakeholders</li> <li>c. The Respondent's strategy for developing and maintaining the listed Deliverables for this section</li> <li>d. The Respondent's approach to develop each System design deliverables meeting the State enterprise security policies</li> <li>e. Discuss Respondent's cloud architecture such as: <ul style="list-style-type: none"> <li>i. Type of cloud offering (Commercial, Government, Business, etc.)</li> <li>ii. Does the Respondent's cloud offering reside in another cloud solution (such as Google Cloud, Microsoft Azure, AWS, etc.)?</li> </ul> </li> </ul>		<b>20</b>	



RESPONDENT LEGAL ENTITY NAME:					
Response Page # (Respondent completes)	Item Ref.	Section C— Technical Qualifications, Experience & Approach Items	Item Score	Evaluation Factor	Raw Weighted Score
		<ul style="list-style-type: none"> <li>iii. Does Respondent's solution offer multi-tenant or dedicated offerings? e.g. (Logical or physical separation)</li> <li>iv. Explain Respondent's standard employee screening requirements such as financial, criminal, and background checks</li> <li>v. Respondent's security tools and response:               <ul style="list-style-type: none"> <li>1. Does the solution support native log aggregation and correlation?</li> <li>2. Does the solution have an API or native application to leverage on premises security solutions?</li> <li>3. What vulnerability scanning tools are leveraged on the solution?</li> <li>4. What type of penetration testing does your solution go through (In-house, 3rd party, etc.) and at what Interval (Annually, quarterly, etc.)?</li> <li>5. Does the solution have a native multi-factor authentication? Does the solution allow for 3rd party multi-factor authentication?</li> <li>6. How does the Respondent provide change notifications and how does the solution provide notice of emergency changes or maintenance?</li> </ul> </li> <li>iv. Respondent's Disaster Recovery/Business Continuity:               <ul style="list-style-type: none"> <li>1. What architecture is utilized to create redundancy, high availability, or recovery zones?</li> <li>2. How does the solution handle replication?</li> <li>3. Where are the Respondent's zones located? (e.g. east/west, US/EU, etc.)</li> <li>4. What retention times are supported natively by your solution? e.g. standard retention of data, extra cost for long term retention etc.</li> <li>5. Are there additional costs for recovery of data/information? Yes/No? Note: Do not include cost or dollar amounts in the response.</li> </ul> </li> </ul>			
	<b>C.21.</b>	Provide a narrative that illustrates the Respondent's understanding of the Source Data for Validations requirements stated in Attachment 6.6., <i>Pro Forma</i>		<b>5</b>	

RESPONDENT LEGAL ENTITY NAME:					
Response Page # (Respondent completes)	Item Ref.	Section C— Technical Qualifications, Experience & Approach Items	Item Score	Evaluation Factor	Raw Weighted Score
		Contract, Section A.3.q. and Attachment 1, subcategory Source Data including the following: <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>			
	<b>C.22.</b>	Provide a narrative that illustrates the Respondent's understanding of the Support and Maintenance requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.r. and Attachment 1, subcategories Support and Maintenance, Enhancements, Service Level, Table/Data Updates, including the following: <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>		<b>15</b>	
	<b>C.23.</b>	Provide a narrative that illustrates the Respondent's understanding of the Testing/Training requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.s. and Attachment 1, subcategory Testing/Training Requirements including the following: <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>		<b>15</b>	
	<b>C.24.</b>	Provide a narrative that illustrates the Respondent's understanding of the State User Acceptance Testing requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.3.t. and Attachment 1, subcategory UAT including the following: <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>		<b>5</b>	
	<b>C.25.</b>	Provide a narrative that illustrates the Respondent's understanding of the Kickoff and Pilot requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract,		<b>10</b>	

RESPONDENT LEGAL ENTITY NAME:					
Response Page # (Respondent completes)	Item Ref.	Section C— Technical Qualifications, Experience & Approach Items	Item Score	Evaluation Factor	Raw Weighted Score
		<p>Section A.3.u. and Attachment 1, subcategories Vendor Requirement/Understanding, Training, and Warranty Services including the following:</p> <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>			
	<b>C.26.</b>	<p>Provide a narrative that illustrates the Respondent's understanding of the Migration – Migration Plan requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.4.a. and Attachment 1, subcategory Migration including the following:</p> <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>		<b>20</b>	
	<b>C.27.</b>	<p>Provide a narrative that illustrates the Respondent's understanding of the Migration – Registration requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.4.b. and Attachment 1, subcategory Migration including the following:</p> <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>		<b>15</b>	
	<b>C.28.</b>	<p>Provide a narrative that illustrates the Respondent's understanding of the Migration – Clinical Risk Indicators requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.4.c. and Attachment 1, subcategory Migration including the following:</p> <ul style="list-style-type: none"> <li>a. The Respondent's overall approach to the requirements</li> <li>b. Provide examples of how these requirements are currently provided or can be developed</li> </ul>		<b>5</b>	
	<b>C.29.</b>	<p>Provide a narrative that illustrates the Respondent's understanding of the Migration – User Profiles requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.4.d. and Attachment 1, subcategory Migration including the following:</p>		<b>15</b>	

RESPONDENT LEGAL ENTITY NAME:					
Response Page # (Respondent completes)	Item Ref.	Section C— Technical Qualifications, Experience & Approach Items	Item Score	Evaluation Factor	Raw Weighted Score
		a. The Respondent's overall approach to the requirements b. Provide examples of how these requirements are currently provided or can be developed			
	<b>C.30.</b>	Provide a narrative that illustrates the Respondent's understanding of the Migration – Data Submitters requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.4.e. and Attachment 1, subcategory Migration including the following: a. The Respondent's overall approach to the requirements b. Provide examples of how these requirements are currently provided or can be developed		<b>10</b>	
	<b>C.31.</b>	Provide a narrative that illustrates the Respondent's understanding of the Migration – Data Backup requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.4.f. and Attachment 1, subcategory Migration including the following: a. The Respondent's overall approach to the requirements b. Provide examples of how these requirements are currently provided or can be developed		<b>15</b>	
	<b>C.32.</b>	Provide a narrative that illustrates the Respondent's understanding of the Migration – Tables requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.4.g. and Attachment 1, subcategory Migration including the following: a. The Respondent's overall approach to the requirements b. Provide examples of how these requirements are currently provided or can be developed		<b>20</b>	
	<b>C.33.</b>	Provide a narrative that illustrates the Respondent's understanding of the Migration – Technical Support requirements stated in Attachment 6.6., <i>Pro Forma</i> Contract, Section A.4.h. and Attachment 1, subcategory Migration including the following: a. The Respondent's overall approach to the requirements		<b>10</b>	

<b>RESPONDENT LEGAL ENTITY NAME:</b>					
<b>Response Page # (Respondent completes)</b>	<b>Item Ref.</b>	<b>Section C— Technical Qualifications, Experience &amp; Approach Items</b>	<b>Item Score</b>	<b>Evaluation Factor</b>	<b>Raw Weighted Score</b>
		b. Provide examples of how these requirements are currently provided or can be developed			
	<b>C.34.</b>	<b>[Reserved]</b>			
	<b>C.35.</b>	Provide a narrative that illustrates the Respondent's understanding of the requirements stated in Tenn. Code Ann. §§ 53-10-301 <i>et seq.</i> and Attachment 1, subcategory Dispenser Compliance including the following:  a. The Respondent's overall approach to the requirements b. Provide examples of how these requirements are currently provided or can be developed		<b>20</b>	
	<b>C.36.</b>	Provide a narrative that illustrates the Respondent's understanding of the requirements stated in the Rules of the Tennessee Board of Pharmacy 1140-11 and Attachment 1, subcategory Rules including the following:  a. The Respondent's overall approach to the requirements b. Provide examples of how these requirements are currently provided or can be developed		<b>20</b>	
	<b>C.37.</b>	Provide a narrative that illustrates the Respondent's understanding of the requirements stated in the Rules of the Tennessee Department of Health 1145-01 and Attachment 1, subcategory Rules including the following:  a. The Respondent's overall approach to the requirements b. Provide examples of how these requirements are currently provided or can be developed		<b>20</b>	
<i>The Solicitation Coordinator will use this sum and the formula below to calculate the section score. All calculations will use and result in numbers rounded to two (2) places to the right of the decimal point.</i>					<b>Total Raw Weighted Score:</b> <i>(sum of Raw Weighted Scores above)</i>
<b>Total Raw Weighted Score</b>  <b>Maximum Possible Raw Weighted Score</b> <i>(i.e., 5 x the sum of item weights above)</i>			<b>X 40</b> <i>(maximum possible score)</i>	<b>= SCORE:</b>	

<b>RESPONDENT LEGAL ENTITY NAME:</b>					
<b>Response Page # (Respondent completes)</b>	<b>Item Ref.</b>	<b>Section C— Technical Qualifications, Experience &amp; Approach Items</b>	<b>Item Score</b>	<b>Evaluation Factor</b>	<b>Raw Weighted Score</b>
<i>State Use – Evaluator Identification:</i>					
<i>State Use – Solicitation Coordinator Signature, Printed Name &amp; Date:</i>					

**RFP ATTACHMENT 6.2.— SECTION D****TECHNICAL RESPONSE & EVALUATION GUIDE**

**SECTION D: ORAL PRESENTATION.** The Respondent must address ALL Oral Presentation Items (below).

A Proposal Evaluation Team, made up of three or more State employees, will independently evaluate and score the oral presentation or field test response to each item. Each evaluator will use the following whole-number, raw point scale for scoring each item:

**0 = little value      1 = poor      2 = fair      3 = satisfactory      4 = good      5 = excellent**

The Solicitation Coordinator will multiply the Item Score by the associated Evaluation Factor (indicating the relative emphasis of the item in the overall evaluation). The resulting product will be the item's raw, weighted score for purposes of calculating the section score as indicated.

<b>RESPONDENT LEGAL ENTITY NAME:</b>				
<b>Oral Presentation Items</b>		<b>Item Score</b>	<b>Evaluation Factor</b>	<b>Raw Weighted Score</b>
<b>D.1.</b>	Present an overview to represent the Respondent's understanding of the State's requirements and project timeline.		<b>15</b>	
<b>D.2.</b>	Present an overview of the Respondent's approach to ensure project deliverables are completed successfully and on time.		<b>15</b>	
<b>D.3.</b>	Present at least one project from the last four years that is similar in scope and discuss the Respondent's role, best practices, failures, lessons learned, and any risk mitigation strategies. The project must be from one identified in Respondent's response to Attachment 6.2., Section C.4.		<b>15</b>	
<b>D.4.</b>	Present an overview of the Respondent's interoperability and interfacing capabilities, including but not limited to 1) a discussion on specific use cases for which interoperability has been implemented in production environments and associated interoperability and vocabulary standards used, and 2) implementation, validation, and maintenance.		<b>10</b>	
<b>D.5.</b>	Present a demonstration of the Respondent's proposed System, indicating how the proposed System meets all requirements described in this Contract. Demonstration areas include: <ul style="list-style-type: none"> <li>a. Administrative Functionality and Auditing</li> <li>b. Algorithms</li> <li>c. Authorization to Modify</li> <li>d. Auto Prompt</li> <li>e. Clinical Risk Indicator</li> <li>f. Compliance</li> <li>g. Communications</li> <li>h. Customer Support</li> <li>i. Dashboard</li> <li>j. Data Access</li> <li>k. Data Collection</li> <li>l. Data Extracts</li> </ul>		<b>45</b>	

<b>RESPONDENT LEGAL ENTITY NAME:</b>				
<ul style="list-style-type: none"> <li>m. Data Sharing</li> <li>n. Database Replicas</li> <li>o. Disaster Recovery</li> <li>p. Dispensation Submission</li> <li>q. Dispenser Compliance</li> <li>r. Documentation (i.e. data dictionary)</li> <li>s. Enhancements</li> <li>t. Environments</li> <li>u. Exemption</li> <li>v. Hosting</li> <li>w. Integration/Interoperability</li> <li>x. IP Addresses</li> <li>y. KPI</li> <li>z. Login Page</li> <li>aa. Meetings</li> <li>bb. Methodology</li> <li>cc. Migration</li> <li>dd. Patient Record</li> <li>ee. PDMP</li> <li>ff. PDMP / Data Collection</li> <li>gg. Registration</li> <li>hh. Reports and Documentation</li> <li>ii. Resources</li> <li>jj. Rules</li> <li>kk. Security</li> <li>ll. Security and Disaster Recovery</li> <li>mm. Service Level</li> <li>nn. Source Data</li> <li>oo. SRS Server</li> <li>pp. State Admin Report</li> <li>qq. Steering Committee</li> <li>rr. Supervisor Audits</li> <li>ss. Support and Maintenance</li> <li>tt. System Availability</li> <li>uu. System Communications</li> <li>vv. Table/Data Updates</li> <li>ww. Technology</li> <li>xx. Testing/Training Requirements</li> <li>yy. Training</li> <li>zz. UAT</li> <li>aaa. User</li> <li>bbb. User Profile</li> <li>ccc. User Query</li> <li>ddd. User Report</li> <li>eee. Validation</li> <li>fff. Vendor Requirement / Understanding</li> <li>ggg. Warranty Services</li> </ul>				
<p align="center"><b>Total Raw Weighted Score</b> (<i>sum of Raw Weighted Scores above</i>):</p> <p align="center">The Solicitation Coordinator will use this sum and the formula below to calculate the score. Numbers rounded to two (2) places to the right of the decimal point will be standard for calculations.</p>				
<p align="center"><b>total raw weighted score</b></p>				



<b>RESPONDENT LEGAL ENTITY NAME:</b>			
<b>maximum possible raw weighted score</b> <i>(i.e., 5 x the sum of item weights above)</i>	<b>X 10</b> <i>(maximum section score)</i>	<b>= SCORE:</b>	
<i>State Use – Evaluator Identification:</i>			
<i>State Use – Solicitation Coordinator Signature, Printed Name &amp; Date:</i>			

**RFP ATTACHMENT 6.3.****COST PROPOSAL & SCORING GUIDE****NOTICE: THIS COST PROPOSAL MUST BE COMPLETED EXACTLY AS REQUIRED**

**COST PROPOSAL SCHEDULE—** The Cost Proposal, detailed below, shall indicate the proposed price for goods or services defined in the Scope of Services of the RFP Attachment 6.6., *Pro Forma* Contract and for the entire contract period. The Cost Proposal shall remain valid for at least one hundred twenty (120) days subsequent to the date of the Cost Proposal opening and thereafter in accordance with any contract resulting from this RFP. All monetary amounts shall be in U.S. currency and limited to two (2) places to the right of the decimal point.

**NOTICE:** The Evaluation Factor associated with each cost item is for evaluation purposes only. The evaluation factors do NOT and should NOT be construed as any type of volume guarantee or minimum purchase quantity. The evaluation factors shall NOT create rights, interests, or claims of entitlement in the Respondent.

Notwithstanding the cost items herein, pursuant to the second paragraph of the *Pro Forma* Contract section C.1. (refer to RFP Attachment 6.6.), "The State is under no obligation to request work from the Contractor in any specific dollar amounts or to request any work at all from the Contractor during any period of this Contract."

This Cost Proposal must be signed, in the space below, by an individual empowered to bind the Respondent to the provisions of this RFP and any contract awarded pursuant to it. If said individual is not the *President* or *Chief Executive Officer*, this document must attach evidence showing the individual's authority to legally bind the Respondent.

<b>RESPONDENT SIGNATURE:</b>			
<b>PRINTED NAME &amp; TITLE:</b>			
<b>DATE:</b>			
<b>RESPONDENT LEGAL ENTITY NAME:</b>			
Cost Item Description	Proposed Cost	State Use Only	
		Evaluation Factor	Evaluation Cost (cost x factor)
Payment Milestone 1 - Project Kickoff / Project Management Planning (12.5% of payment milestones 1 through 8)	\$ / (one-time charge)	1	
Payment Milestone 2 - Completion of Model System Design (12.5% of payment milestones 1 through 8)	\$ / (one-time charge)	1	
Payment Milestone 3 - Completion of Functional Testing/Training Environment (12.5% of payment milestones 1 through 8)	\$ / (one-time charge)	1	
Payment Milestone 4 - Completion of Integration Testing (12.5% of payment milestones 1 through 8)	\$ / (one-time charge)	1	

## RFP ATTACHMENT 6.3. (continued)

RESPONDENT LEGAL ENTITY NAME:			
Cost Item Description	Proposed Cost	State Use Only	
		Evaluation Factor	Evaluation Cost (cost x factor)
Payment Milestone 5 - Completion of Migration of Data (12.5% of payment milestones 1 through 8)	\$ / (one-time charge)	1	
Payment Milestone 6 - Completion of End User Training(12.5% of payment milestones 1 through 8)	\$ / (one-time charge)	1	
Payment Milestone 7 - Completion of Go-Live (10% of payment milestones 1 through 8)	\$ / (one-time charge)	1	
Payment Milestone 8 - Completion of Post Go-Live Optimization (15% of payment milestones 1 through 8)	\$ / (one-time charge)	1	
Year 1 Quarterly Maintenance & Operations Cost	\$ / Quarter	4	
Year 2 Quarterly Maintenance & Operations Cost	\$ / Quarter	4	
Year 3 Quarterly Maintenance & Operations Cost	\$ / Quarter	4	
Year 4 Quarterly Maintenance & Operations Cost	\$ / Quarter	4	
Year 5 Quarterly Maintenance & Operations Cost	\$ / Quarter	4	
Training Session - Virtual	\$ / Hour	100	
Training Session - In-person/onsite	\$ / Hour	40	
API for Driver's License	\$/month	60	
Migration of data from Data Collection	\$ /month	60	
Change Order, as described in Attachment 6.6., Section A.8	\$ / Hour	2,000	
<b>EVALUATION COST AMOUNT</b> (sum of evaluation costs above):			
The Solicitation Coordinator will use this sum and the formula below to calculate the Cost Proposal Score. Numbers rounded to two (2) places to the right of the decimal point will be standard for calculations.			

## RFP ATTACHMENT 6.3. (continued)

<b>RESPONDENT LEGAL ENTITY NAME:</b>			
<b>Cost Item Description</b>	<b>Proposed Cost</b>	<b>State Use Only</b>	
		<b>Evaluation Factor</b>	<b>Evaluation Cost</b> (cost x factor)
$\frac{\text{lowest evaluation cost amount from all proposals}}{\text{evaluation cost amount being evaluated}} \times 20 = \text{SCORE:}$ <p style="text-align: center;">(maximum section score)</p>			
<i>State Use – Solicitation Coordinator Signature, Printed Name &amp; Date:</i>			

**RFP ATTACHMENT 6.4.****REFERENCE QUESTIONNAIRE**

**The standard reference questionnaire provided on the following pages of this attachment should be completed by all individuals offering a reference for the Respondent.**

The Respondent will be solely responsible for obtaining completed reference questionnaires as detailed below.. Provide references from individuals who are not current State employees of the procuring State Agency for projects similar to the goods or services sought under this RFP and which represent:

- two (2) contracts Respondent currently services that are similar in size and scope to the services required by this RFP; and
- three (3) completed contracts that are similar in size and scope to the services required by this RFP.

References from at least three (3) different individuals are required to satisfy the requirements above, e.g., an individual may provide a reference about a completed project and another reference about a currently serviced account. The individual contact reference provided for each contract or project shall not be a current State employee of the procuring State agency. Procuring State agencies that accept references from another State agency shall document, in writing, a plan to ensure that no contact is made between the procuring State agency and a referring State agency. The standard reference questionnaire, should be used and completed, and is provided on the next page of this RFP Attachment 6.4.

In order to obtain and submit the completed reference questionnaires following one of the two processes below.

Written:

- (a) Add the Respondent's name to the standard reference questionnaire at RFP Attachment 6.4. and make a copy for each reference.
- (b) Send a reference questionnaire and new, standard #10 envelope to each reference.
- (c) Instruct the reference to:
  - (i) complete the reference questionnaire;
  - (ii) sign and date the completed reference questionnaire;
  - (iii) seal the completed, signed, and dated reference questionnaire within the envelope provided;
  - (iv) sign his or her name in ink across the sealed portion of the envelope; and
  - (v) return the sealed envelope directly to the Respondent (the Respondent may wish to give each reference a deadline, such that the Respondent will be able to collect all required references in time to include them within the sealed Technical Response).
- (d) Do NOT open the sealed references upon receipt.
- (e) Enclose all sealed reference envelopes within a larger, labeled envelope for inclusion in the Technical Response as required.

Email:

- (a) Add the Respondent's name to the standard reference questionnaire at RFP Attachment 6.4. and make a copy for each reference.
- (b) E-mail a reference questionnaire to each reference.
- (c) Instruct the reference to:
  - (i) complete the reference questionnaire;
  - (ii) sign and date the completed reference questionnaire;
  - (iii) E-mail the reference directly to the Solicitation Coordinator by the RFP Technical Response Deadline with the Subject line of the e-mail as "[Respondent's Name] Reference for RFP # **34310-21124**".

NOTES:

- The State will not accept late references or references submitted by any means other than the two which are described above, and each reference questionnaire submitted must be completed as required.
- The State will not review more than the number of required references indicated above.

- While the State will base its reference check on the contents of the reference e-mails or sealed reference envelopes included in the Technical Response package, the State reserves the right to confirm and clarify information detailed in the completed reference questionnaires, and may consider clarification responses in the evaluation of references.
- The State is under no obligation to clarify any reference information.

**RFP # 34310-21124 REFERENCE QUESTIONNAIRE****REFERENCE SUBJECT:** RESPONDENT NAME (completed by Respondent before reference is requested)

The "reference subject" specified above, intends to submit a response to the State of Tennessee in response to the Request for Proposals (RFP) indicated. As a part of such response, the reference subject must include a number of completed and sealed reference questionnaires (using this form).

Each individual responding to this reference questionnaire is asked to follow these instructions:

- complete this questionnaire (either using the form provided or an exact duplicate of this document);
- sign and date the completed questionnaire and follow either process outlined below;

**Physical:**

- seal the completed, signed, and dated questionnaire in a new standard #10 envelope;
- sign in ink across the sealed portion of the envelope; and
- return the sealed envelope containing the completed questionnaire directly to the reference subject.

**E-Mail:**

- e-mail the completed questionnaire to:  
[Simeon.Ayton@tn.gov](mailto:Simeon.Ayton@tn.gov)

(1) **What is the name of the individual, company, organization, or entity responding to this reference questionnaire?**

(2) **Please provide the following information about the individual completing this reference questionnaire on behalf of the above-named individual, company, organization, or entity.**

<b>NAME:</b>	
<b>TITLE:</b>	
<b>TELEPHONE #</b>	
<b>E-MAIL ADDRESS:</b>	

(3) **What goods or services does/did the reference subject provide to your company or organization?**

- (4) If the goods or services that the reference subject provided to your company or organization are completed, were the goods or services provided in compliance with the terms of the contract, on time, and within budget? If not, please explain.
- (5) If the reference subject is still providing goods or services to your company or organization, are these goods or services being provided in compliance with the terms of the contract, on time, and within budget? If not, please explain.
- (6) How satisfied are you with the reference subject's ability to perform based on your expectations and according to the contractual arrangements?

**REFERENCE SIGNATURE:**

(by the individual completing this  
request for reference information)

---

(must be the same as the signature across the envelope seal)

**DATE:**



## RFP ATTACHMENT 6.5.

## SCORE SUMMARY MATRIX

	RESPONDENT NAME		RESPONDENT NAME		RESPONDENT NAME	
<b>GENERAL QUALIFICATIONS &amp; EXPERIENCE</b> (maximum: 20)						
EVALUATOR NAME						
EVALUATOR NAME						
REPEAT AS NECESSARY						
	AVERAGE:		AVERAGE:		AVERAGE:	
<b>TECHNICAL QUALIFICATIONS, EXPERIENCE &amp; APPROACH</b> (maximum: 40)						
EVALUATOR NAME						
EVALUATOR NAME						
REPEAT AS NECESSARY						
	AVERAGE:		AVERAGE:		AVERAGE:	
<b>ORAL PRESENTATION &amp; SOLUTION DEMONSTRATION</b> (maximum: 10)						
EVALUATOR NAME						
EVALUATOR NAME						
REPEAT AS NECESSARY						
	AVERAGE:		AVERAGE:		AVERAGE:	
<b>COST PROPOSAL</b> (maximum: 30)	SCORE:		SCORE:		SCORE:	
EVALUATOR NAME						
EVALUATOR NAME						
REPEAT AS NECESSARY						
	AVERAGE:		AVERAGE:		AVERAGE:	
<b>TOTAL RESPONSE EVALUATION SCORE:</b> (maximum: 100)						

*Solicitation Coordinator Signature, Printed Name & Date:*

**RFP # 34310-21124 *PRO FORMA* CONTRACT**

The *Pro Forma* Contract detailed in following pages of this exhibit contains some “blanks” (signified by descriptions in capital letters) that will be completed with appropriate information in the final contract resulting from the RFP.

**CONTRACT  
BETWEEN THE STATE OF TENNESSEE,  
DEPARTMENT OF HEALTH  
AND  
CONTRACTOR NAME**

This Contract, by and between the State of Tennessee, Department of Health ("State") and **Contractor Legal Entity Name** ("Contractor"), is for the provision of the Controlled Substance Monitoring Database (CSMD), as further defined in the "SCOPE." State and Contractor may be referred to individually as a "Party" or collectively as the "Parties" to this Contract.

The Contractor is **a/an Individual, For-Profit Corporation, Non-Profit Corporation, Special Purpose Corporation Or Association, Partnership, Joint Venture, Or Limited Liability Company.**

Contractor Place of Incorporation or Organization: **Location**

Contractor Edison Registration ID # **Number**

**A. SCOPE:**

A.1. The Contractor shall provide all goods or services and deliverables as required, described, and detailed below and shall meet all service and delivery timelines as specified by this Contract and the Tennessee Prescription Drug Monitoring Program (PDMP) System Requirements Matrix, which is attached as Attachment 1 to this Contract and is specifically incorporated herein by reference as though fully set forth in this Contract.

A.2. Definitions. All definitions for the purposes of this Contract and Attachment 1 shall be as follows:

- a. "Active Session" means an active working session where communication is occurring between the State PDMP User Application and devices being used by Users.
- b. "API" means Application Programming Interface.
- c. "APRN" means Advance Practice Registered Nurse. Per State of Tennessee rule 1000-04-.02(1) means a Tennessee licensed registered nurse who has a master's degree or higher in a nursing specialty and has national specialty certification as a nurse practitioner, nurse anesthetist, nurse midwife, or clinical nurse specialist. The four (4) recognized categories for advanced practice nurses are Clinical Nurse Specialist, Nurse Anesthetist, Nurse Midwife, and Nurse Practitioner, and also means "APRN" as defined in T.C.A. § 63-7-126.
- d. "ASAP" means the American Society for Automation in Pharmacy standards for Prescription Drug Monitoring Programs (PDMP).
- e. "Audit" means a formal examination of CSMD files.
- f. "Auditing" means a comprehensive assessment of all aspects of data gathering, storage, and usage associated with the System performed by CSMD Administrators and CSMD Director.
- g. "Authorization to Modify" means a documented approval from the State accepting or denying a suggested or requested change to be made to the software or hardware before a change can occur.
- h. "Authorized Entity" means Licensee or appropriate Licensee employees who do not provide patient care but who meet all applicable requirements and who properly authenticate to the applicable PDMP, as required, to facilitate the provision of PDMP data to Authorized Users, or perform administrative or technical functions in connection with an integration service or interstate data sharing, all in accordance with the terms of this Contract, the integration or interstate data sharing Business Requirements, and applicable law and regulation.
- i. "Authorized User" means pharmacist or health care practitioner within Licensee's organization or health care entities that have a member or client relationship with Licensee, which is described in a valid agreement between such practitioners or

entities and Licensee, and that, in accordance with the terms of this Contract and applicable law and regulation.

- a. Comply with applicable Business Requirements;
  - b. Are validly licensed;
  - c. Are validly authorized by the Licensee to access CSMD data in accordance with applicable law; and
  - d. Properly authenticate to the CSMD, as required, when seeking to query one (1) or more state's PDMPs.
- j. "Badge Number or Commission Number" means a number assigned to law enforcement, TBI or DEA upon completing training per T.C.A. § 38-8-107, TBI or DEA recruit training program.
- k. "BJA" means the Federal Bureau of Justice Assistance.
- l. "Border States" means Alabama, Arkansas, Georgia, Kentucky, Mississippi, Missouri, North Carolina, and Virginia.
- m. "Business Requirements" means user functions, operation functions, data attributes, and security functions required in relation to service functionality documented herein and enhancements thereof to support the needs of Tennessee.
- n. "CDC" means Centers for Disease Control and Prevention.
- o. "Central Reporters" means individuals within a corporate structure identified to report controlled substance prescriptions on behalf of their corporate subsidiary, Dispensers, or an individual of a software company contracted by the Dispenser to report controlled substance prescriptions on behalf of Dispenser to the prescription monitoring program.
- p. "Certified Registered Nurse Anesthetist" means a Tennessee licensed registered nurse who has a master's degree or higher in a nursing specialty and has national specialty certification as a certified registered nurse anesthetist.
- q. "Clinical Risk Indicator (CRI)" means a visual, textual or graphical indicator used in the System to indicate to the user of the System the potential for this patient to be high risk determined by parameters set by the State.
- r. "Controlled Substance Monitoring Database (CSMD)" means an electronic repository, created by T.C.A. § 53-10-304, that collects and maintains encrypted data on controlled substance prescriptions dispensed in the State of Tennessee and generates reports on this data. This is the State's Prescription Drug Monitoring Program (PDMP).
- s. "CSMD Committee" means the committee created by T.C.A. § 53-10-303.
- t. "CSMD Director" means the director of the State's CSMD who administers, maintains, and directs the operation and function of the CSMD.
- u. "CSV" means Comma Separated Values.
- v. "DATA" means Drug Addiction Treatment Act.
- w. "Data Collection" means the application that accepts and validates dispensation data, either electronically or via manual submission, from a Data Submitter. This application will transfer dispensation data to the CSMD once the data has been validated by interoperable applications for data quality.
- x. "Data Collection Error" means an error that prevents the transfer of dispensation data from the Data Collection application to the CSMD application.
- y. "Data Collection Manual" means a document used by Dispensers that contains information related to definitions, explanations, processes and instructions regarding prescription data to be submitted to the State.

- z. “Data Collection Warning” means a warning message sent to a Data Submitter that will allow the transfer of dispensation data from the Data Collection application to the CSMD application.
- aa. “Data Dictionary” means a document that will catalog the organization, contents, and conventions of the databases. It shall include the names and descriptions and characteristics of all the various tables (records or entities) and their contents (fields) plus additional details, e.g., type and length of each data element. It shall document the relationship between all tables.
- bb. “Data Submitter” means an individual, Central Reporter, or software vendor that transmits dispensation data to the Data Collection application. Data Submitters are responsible for dispensation data and Zero Report submissions to the Data Collection application.
- cc. “Data Traceability” means the ability to track access, values, and changes to the data as they flow through their lineage in the System.
- dd. “DEA” means Drug Enforcement Administration.
- ee. “DEA Suffix” means an Identifying number assigned by an institution to a Prescriber when the institution’s DEA number is used to prescribe controlled substances.
- ff. “Delegates” or “Healthcare practitioner delegates” or “Healthcare Extenders” means any person designated by a healthcare practitioner to act as an agent of the healthcare practitioner, upon registering the person as a delegate and providing any information required by the department. A healthcare practitioner shall have the ability to authorize a healthcare practitioner delegate to check the controlled substance database as set forth in the Prescription Safety Act of 2016, found in T.C.A. § 53-10-301. The healthcare practitioner shall be responsible for actions taken by their agents or their healthcare practitioner delegates.
- gg. “Disaster” means a serious intentional or unintentional disruption of network and/or System functionality causing all or part of an organization’s operations and/or computer services to be rendered unusable.
- hh. “Disaster Recovery” means the procedures an organization will follow to maintain or quickly resume mission-critical functions following a disaster.
- ii. “Disclaimer” means language in CRIs, reports, and other areas of the State PDMP User Application and State PDMP Data Collection Application to communicate the conditions, limitations, and exceptions of the information presented.
- jj. “Dispensation” means a prescription transaction or when a Dispenser provides a schedule II, III, IV or V controlled substance to a patient as ordered by a prescriber pursuant to T.C.A. § 63-8-102(12) or § 63-6-204.
- kk. “Dispenser” means any health care practitioner who is licensed and has and has current authority to dispense controlled substances, and also means a person who physically delivers a controlled substance to any person, institution or entity with the intent that it be consumed away from the premises on which it is dispensed.
- ll. “Drugs of Concern” means medications that are not controlled substances but are identified by the CSMD Committee as medications that must be tracked by the System.
- mm. “Electronic Health Record (EHR)” means an Electronic Medical Record or Pharmacy Management System which contains patient medical or pharmacy records compatible with the requirements set forth by HIPAA and HITECH.
- nn. “Enhancement” means new development or functionality requested by the State that does not exist in the current System. Contractor will need to indicate appropriately in questions and be prepared to provide a cost and timeline to complete.
- oo. “End User Licensing Agreement” means an agreement between the System integration service and the Authorized User or Authorized Entity (Licensee) setting forth the

various conditions, obligations, and requirements for being granted access to the System's integration service.

- pp. "Enterprise Data Warehouse" means a relational data repository containing the State's business data, including information about its customers that enables data analytics.
- qq. "Entity Relationship Diagram (ERD)" means a type of flowchart that illustrates how "entities" such as people, objects or concepts relate to each other within a System and are used to design or debug relational databases in the PDMP.
- rr. "FDA" means Food and Drug Administration.
- ss. "FIPS" means Federal Information Processing Standards.
- tt. "Gap" means functionality that exists in the current applications the Contractor provides to the State at the time of this Contract start date that would need to be developed in the Contractor's new version of the State PDMP User Application or State Data Collection Application should the State migrate to the Contractor's new applications. Development of Gap items would be at no cost to the State.
- uu. "Healthcare Practitioner" means, as defined in T.C.A. § 53-10-302(9):
  - a. A person licensed, registered, or otherwise permitted to prescribe, distribute, or dispense a controlled substance in the course of professional practice; or
  - b. A pharmacy, hospital, or other institution licensed, registered, or otherwise permitted to distribute, or dispense, or administer a controlled substance in the course of professional practice; or
  - c. A certified registered nurse anesthetist (CRNA) as described in § 63-7-103; or
  - d. The state chief medical examiner, a county medical examiner, a deputy or assistant state medical examiner or forensic pathologist under the control or direction of the chief medical examiner, or a deputy or assistant county medical examiner or forensic pathologist under the control or direction of a county medical examiner.
- vv. "HIE" means Health Information Exchange.
- ww. "HIPAA" means the Health Insurance Portability and Accountability Act of 1996, as amended, and regulations.
- xx. "HITECH" means The Health Information Technology for Economic and Clinical Health Act, enacted as part of the American Recovery and Reinvestment Act of 2007.
- yy. "HITRUST" means for the Health Information Trust Alliance compliance certification to HIPAA requirements.
- zz. "ICD-10 codes" means the International Classification of Diseases, Tenth Revision used as a classification system of diagnosis codes representing conditions and diseases, related health problems, abnormal findings, signs and symptoms, injuries, and external causes of injuries and diseases.
- aaa. "IJIS/Tetrus" means the Integrated Justice Information Systems Institute. IJIS/Tetrus provides the primary technical and administrative support to RxCheck as contracted by BJA.
- bbb. "Integration" means a managed service used for connecting an Integration Authorized Entity, Integration Authorized User, or Integration Licensee to the CSMD through an EHR or pharmacy management system to increase efficiency in a User's workload.
- ccc. "Integration Authorized Entity" means the organization signing the contract or appropriate organization employees who do not provide Patient care but who meet all applicable requirements and who properly authenticate to the applicable PDMP, as required, to facilitate the provision of PDMP data to Integration Authorized Users, or perform administrative or technical functions in connection with the Integration Service or PDMP data, all in accordance with the terms of the complete integration Contract, and applicable regulations and statutes listed in the Terms and Conditions agreement.

- ddd. "Integration Authorized User" means a Pharmacist or health care practitioner within an organization or health care entities that have a member or client relationship with said organization, which is described in a valid agreement between such practitioners or entities and organization, in accordance with the terms of the integration Contract who are validly authorized to access System data and properly authenticate to the System.
- eee. "Integration Licensee" means the entity that signs a contract with the State for integration services and could represent a single facility or multiple facilities under a single End User License Agreement.
- fff. "Internet Protocol (IP) Address" means a numerical label assigned to each device connected to a computer network that uses the Internet Protocol for communication.
- ggg. "Interoperability" means the ability of two or more systems to exchange health information and use the information once it is received by using common standards, technologies, and terminology.
- hhh. "Interoperability Agreement" means an agreement between two or more data systems using common standards, technologies, and terminology.
- iii. "Interstate Data Sharing" means the process of sharing information between states to provide more complete information about a patient's health history.
- jjj. "KPIs" means Key Performance Indicators.
- kkk. "MD" means Medical Doctor.
- lll. "Migration" means moving digital information from one location to another, one format to another, or one application to another.
- mmm. "Migration Plan" means the process of selecting, preparing, extracting, and transforming data and permanently transferring it from one computer storage system to another.
- nnn. "MME" means Morphine Milligram Equivalent.
- ooo. "NCPDP" means National Council for Prescription Drug Programs.
- ppp. "NDC" means National Drug Code.
- qqq. "New Implementation" means the implementation of the any features, functionality, data services or integration service and requires testing as documented within the Business Requirements.
- rrr. "NPI" means National Provider Identifier.
- sss. "PA" means Physician Assistant as defined in T.C.A. § 63-19-102.
- ttt. "Patient ID" or "Patient Identification Number" means a unique identifier assigned to a patient associated with prescription data submitted from the Dispenser to State PDMP Data Collection Application by the Contractor during processing of that data. If the patient information matches existing patient data associated to Patient ID in the State PDMP Data Collection Application, the new data will be associated to that Patient ID, otherwise a new Patient ID will be created in the State PDMP Data Collection Application.
- uuu. "Patient Matching" means software that can link Patient records where the data may not be completely the same.
- vvv. "PDF" means Portable Document Format.
- www. "PDMP" means Prescription Drug Monitoring Program and is an electronic database that tracks controlled substance prescriptions in a state. PDMP can be used interchangeably with Prescription Monitoring Program (PMP) depending on which definition a partnering state chooses.
- xxx. "Pharmacist" means an individual health care provider licensed by a state to practice the profession of pharmacy.



- yyy. "Pharmacy Management System" means a suite of applications for dispensing and/or Patient care services of the pharmacy which contains Patient medical or pharmacy records compatible with the requirements set forth by HIPAA and HITECH.
- zzz. "PIC" means Pharmacist In Charge and refers to the supervisory pharmacist who has the authority and responsibility for compliance with laws and rules pertaining to the practice of pharmacy at the practice site of the pharmacist-in-charge.
- aaaa. "PHI" means Protected Health Information.
- bbbb. "PII" means Personally Identifiable Information.
- cccc. "PMPi" means Prescription Monitoring Program InterConnect and is a highly secure communications exchange platform that facilitates the transmission of PDMP data across state lines to authorized requestors, while ensuring that each state's data access rules are enforced.
- dddd. "Prescriber" means an individual authorized by law to prescribe drugs as defined in T.C.A. §.63-10-204(40).
- eeee. "Production Environment" means the environment where the System is put into operation for its intended use by end Users.
- ffff. "Profession" means an individual's primary vocation identified by the individual to the State to obtain licensure (Examples: Medical Doctors, Osteopathic Doctors, Nurse, Podiatrist, etc.). This is not the individual's specialty (Examples: Anesthesiology, Internal Medicine, Family Medicine) or Sub-Specialty (Examples: Pain Management, Pediatric Cardiology).
- gggg. "Release Notes" means technical documents that provide information about a System's updates, enhancements, bug fixes, and new features
- hhhh. "Remediation Plan" means a plan to remedy any problems or deficiencies that occur during the testing of Disaster Recovery.
- iiii. "Report Output" means the results from a query run in either the State PDMP Data Collection Application or the State PDMP User Application that can be either viewed online or that generates a document that can be viewed or downloaded from the respective application.
- jjjj. "Role" means an identification in the System to identify different types of Users (e.g. Medical Doctors, Osteopathic Doctors, Advance Practice Registered Nurses, Licensed Delegate, Unlicensed Delegate, Administrator, etc.).
- kkkk. "Sensitive Information" means information that includes Patient Health Information (PHI), Personally Identifiable Information (PII) and certain sensitive Prescriber/Dispenser identification numbers such as DEA Numbers.
- llll. "SFTP" means Secure File Transfer Protocol.
- mmmm. "Shell account" means (in the context of this contract) an account that does not have its profile information filled out. It technically exists as an account with the bare minimum information (email and password) but is otherwise an empty account.
- nnnn. "Specialty" means a specialty branch of the medical profession. After completing medical school, physicians or surgeons usually further their medical education in a specific specialty of medicine by completing a multiple year residency to become a medical specialist (e.g. Family Medicine, Anesthesiology, Nursing, Orthopedic Surgeon).
- oooo. "SRS" means State Routing Service and refers to a series of computer servers that distribute and collect information from application servers between the Contractor and the State.

- pppp. "State Admin Report" means any report that only State Administrator (s) can generate but normal healthcare User roles do not have access to. These reports are usually associated with an audit of the data in the System.
- qqqq. "State Administrators" means individuals who are designated by the CSMD Director and work in operations for the CSMD and have been given access and an administration role in the CSMD web application(s) provided by the Contractor that have necessary privileges to provide customer support, operational support, and access to functionality of the System not available to normal Users of the System..
- rrrr. "State PDMP Data Collection Application" means the application hosted by the Contractor used by the State to collect controlled substance prescription data from dispensers for controlled substances in Schedules II, III, and IV dispensed in this state, and Schedule V controlled substances identified by the controlled substance database committee that will be collected in this application and then processed into the State PDMP User Application. This application in Tennessee is known by the dispensers as Tennessee Data Collection and is part of the overall System.
- ssss. "State PDMP User" means an individual who, by law, can register to view the collected prescription data in the System/CSMD in accordance with their respective role.
- tttt. "State PDMP User Application" means the application that is hosted by the Contractor and used to increase the quality of patient care by equipping health care practitioners and others as allowed by law to view prescription data collected on patients acquiring controlled substances in Schedules II, III, and IV dispensed in this state, and Schedule V controlled substances identified by the controlled substance database committee. This application in Tennessee is known by the registered Users as the Controlled Substance Monitoring Database (CSMD) and is part of the overall System.
- uuuu. "Sub-Specialty" means a category providing the area of expertise that a person has within a specialty area for example: Profession of Medical Doctor, Specialty of Anesthesiology and Sub-Specialty of Pain Management.
- vvvv. "Supervisor" means an individual given their authority by the Prescription Safety Act of 2016 to approve individuals to register and/or perform CSMD requests on their behalf.
- www. "System" means a collection of hardware and software that performs specific tasks using interconnection of individual components, which work together to maintain compliance of the PDMP for the State of Tennessee pursuant to T.C.A. §§ 53-10-301, *et seq.* System would contain both the State PDMP Data Collection Application and State PDMP User Application.
- xxxx. "TBI" means Tennessee Bureau of Investigation.
- yyyy. "TBI Director" means a person appointed by the governor that manages the TBI.
- zzzz. "TennCare" means the Medicaid program for the State of Tennessee.
- aaaaa. "Terms and Conditions" means an agreement between each Authorized User and/or Authorized Entity (Licensee) and the CSMD, which sets forth Tennessee's specific requirements for users and entities to access CSMD data via the System's integration service.
- bbbbb. "Test Environment" means a validated, stable and usable test environment where the State will execute test scenarios to validate that functionality meets business requirements.
- ccccc. "Third Party" means any works, items, material or information, including Intellectual Property, produced, developed, owned or licensed by a third party, not being a Party to this Contract.
- ddddd. "Training Environment" means an environment that mimics the Production Environment that can be used to allow hands on experience utilizing fake data and can also be used in educational outreach.
- eeee. "UAT" means User Acceptance Testing.

- fffff. “Unlicensed Delegate (also known as Health Care Extender Unlicensed)” means any person who does not hold a professional license or registration that is designated by the healthcare practitioner to act as an agent of the healthcare practitioner.
- ggggg. “User” means any individual, individual for a corporate entity, individual for a software company who by law can register to use the System.
- hhhhh. “User Report” means any report generated in the System by an authorized User.
- iiii. “Work Plan” means a formal road map for a project to articulate the required steps to achieve a stated goal by setting demonstrable objectives and measurable deliverables that can be transformed into concrete actions.
- jjjj. “XML” means Extensible Markup Language and is a markup language that defines a set of rules for encoding documents in a format that is both human-readable and machine-readable.
- kkkkk. “Zero Report” means a report submitted by a dispenser/software vendor/central reporter showing that no dispensations occurred on a specific day.

A.3. Business Requirements. Contractor shall provide a System that meets all business requirements listed in this section and Attachment 1., including, but not limited to, the following:

a. Administrative Functionality and Auditing Capabilities—

- (1) Contractor shall allow authorized State PDMP Users to query the System for the purpose of conducting internal reviews related to controlled substance laws and related audits, and for the purpose of engaging in the analysis of controlled substance dispensation information as part of the assigned duties and responsibilities of employment.
- (2) Contractor shall allow designated representative (s) from a State agency, department, or board responsible for licensing or certifying Prescribers or Dispensers whose professional practice is regulated by that agency, department, or board to query the Systems for the purpose of conducting administrative investigations and audits.
- (3) Contractor shall allow State authorized Roles to initiate an interstate data query for each state with which the State has an interoperability agreement.. Contractor shall allow User Roles to be mapped to Roles used by data sharing hubs, including, but not limited to, RxCheck and PMPi. State Administrators shall have the functionality to filter by Role/Profession (such as MD, APRN), by Specialty (such as Anesthesiologist, Internal Medicine), by Sub-Specialty (where applicable), the option to export data to CSV or PDF, search User profiles using partial entries in State determined fields, and update information in State determined fields.
- (4) Contractor shall provide functionality for State Administrator(s) to run a weekly audit report containing all errors and warnings for a specified time period to identify errors or warnings that have not been corrected using State determined fields.
- (5) Contractor shall provide functionality for State Administrator(s) to run a pending/approved/denied registration audit report containing all errors and warnings for a State specified period using State specified fields.
- (6) Contractor shall provide functionality for State Administrators to send emails to User groups based on State specified fields.
- (7) Contractor shall provide State Administrator (s) the functionality to generate an audit report on any User role or User role with Supervisory relationships to

include a specific delegate, multi select or all Delegates associated to the Supervisor (include abilities to even filter by sub-role: APRN, PA, prescriber delegate licensed or non-licensed etc.) by a specified period to determine a specific User's activity or activity performed on behalf of a supervisor. Contractor shall track all Supervisory relationships with approval/denial markers to complete a complete historical picture between any Supervisor/Delegate or Delegate/Supervisor (s). Examples of the types of auditing activities include, but are not limited to: generated patient reports, log in dates and times, Prescriber Reports, Reports ran by delegates and viewed by Supervisor, etc. The report shall have the option to be exported to CSV or PDF. Report output would be dependent on activity and fields associated to that activity.

b. Algorithms –

- (1) Contractor shall continuously refine the Patient linking and matching, Patient Clinical Risk Indicator, unsolicited reporting, at-risk patients' algorithms, based on the State feedback and demonstrate the results to the State. The at-risk algorithm will aid Prescribers to identify individual and refer to substance use disorder treatment professionals and programs.
- (2) Contractor shall identify and maintain a DEA number (s) associated to a unique prescriber and assign a unique ID.
- (3) Contractor shall generate a unique identifier for each User, dispenser, or practitioner.

c. Authorization to Modify –

- (1) Contractor shall accept, deny, or present revisions and options to a State requested change within ten (10) business days of receipt from the State. Any changes or denials shall include reasonable justification. Contractor shall accept or deny any revisions made to the Authorization to Modify within seven (7) business days. Contractor shall provide an itemized price structure if requested by the State.

d. Clinical Risk Indicators –

- (1) Contractor shall place Clinical Risk Indicators on Patient reports regardless of the query method (PDMP, Integration, etc.) used to obtain the report.

e. Customer Support –

- (1) Contractor's customer service resource(s) shall change an email address in a User's profile when credentials established between State and Contractor have been provided by User to confirm identity. Contractor shall not allow anyone other than the individual named in the account to make changes to the User profile.

f. Dashboard –

- (1) Contractor shall provide a self-service, interactive dashboard to State Administrator (s) with easy access to information in relation to measures included in grants, Dispensation counts by demographics, prescribing trends, User activity, registrant information, interstate data sharing and integration metrics.
- (2) Contractor shall provide a self-service, interactive dashboard to State Administrator (s) with easy access to information in relation to measures included in grants, Dispensation counts by demographics, prescribing trends, User activity, registrant information, interstate data sharing and integration metrics.
- (3) Contractor shall provide dashboard that allows State Administrator (s) to create customized reports within the dashboard.

- (4) Contractor's dashboard solution shall allow State Administrator (s) to create data visualizations, benchmarking, and time series trending to help identify trends, outliers, and other areas of opportunity.

g. Data Access –

- (1) Contractor shall provide the State with access to all file submissions by Data Submitters, as well as all the data created from the data submissions. Contractor shall provide to the State permissions and System access to all tables within the System without exception. State will provide to the Contractor a listing of permanent staff to have System access at an agreed upon number of days prior to the targeted initial System initialization date. State may add/remove resources via the appropriate communication channel after initial System utilization.
- (2) Contractor's System shall provide the State the capability to access all data tables to enable storage in the State's Enterprise Data Warehouse (EDW). This connection shall be secure and accessible at all times, with unrestricted frequency and quantity within the download capability. All data tables shall be included.
- (3) Contractor shall provide the State with access to all data created from Data Submitter submission, all transactions created by the System and a full replica of data created and stored.
- (4) Contractor shall provide the State with full read access to all of the databases, which shall be accessible by the State 99.9% of the time. If database updating is used, Contractor shall update the database daily at a minimum.
- (5) Contractor shall provide the State with the ability to extract data the State needs from the System. If the tools provided by the Contractor do not meet the needs of the State, then the Contractor shall provide options to extract the data or provide the necessary data in an agreeable format within twenty-four (24) hours, at no additional cost to a target location in a format that is acceptable by the State.
- (6) Contractor shall provide the State with a full physical data model and Data Dictionary of the delivered System solution.
- (7) Contractor shall provide the capability for State Administrator (s) to access and download any data contained in the data tables listed in the Data Dictionary.
- (8) Contractor shall provide the State a near real time replica to enable the State to write and execute read-only SQL or other query software on data in the replica System.
- (9) Contractor shall provide extracts of all information on the dispenser compliance dashboard in a format securely downloadable in a CSV file. All extracts shall include, but are not limited to: the dispenser name, dispenser DEA number, dispenser license number, the data Submitter account, data Submitter email, individual responsible for DEA, and any emails, phone numbers, or addresses associated with the Dispenser, Data Submitter or individual responsible for DEA.

h. Data Collection –

- (1) Contractor shall collaborate with the State to update the current Data Collection Manual for inclusion on the CSMD website, or a similar Data Collection Manual with any changes agreed to by the Parties.

- (2) Contractor shall adhere to the requirements under Tennessee law and those listed in the most recent CSMD Data Collection manual listed on the CSMD website at: <https://www.tn.gov/health/health-program-areas/health-professional-boards/csmd-board/csmd-board/csmd-data-collection-manual.html>.
- (3) Contractor shall be responsible for monitoring that each Data Submitter has submitted data on the required submission schedule per Tennessee law, and specifically T.C.A. §.53-10-305(b)(2) and Tenn. Comp. R. and Regs 1145-01-.02.
- (4) Contractor shall notify the Data Submitter along with the Pharmacist In Charge (or other resource identified by the individual responsible for the Dispenser's DEA number) of any submission failures via an electronic communication. Contractor shall notify the State Administrator(s) when the Data Submitter fails to either report data or make the appropriate corrections within the State defined timeframe.
- (5) Contractor shall identify and flag Users, who fail to submit data or a report with no records/data ("Zero Report") in each dispensing category, as "non-compliant". Required fields, as defined by the State statutes and regulations, shall be populated with valid information and enforced at the database or application level as appropriate.
- (6) Contractor shall document each data transmission to include, but not be limited to: identification of Data Submitter, date and time received, number of records submitted, number of records accepted, number of records with errors, type of submission, method of transmission and any other pertinent information to clearly identify a data submission as determined by the State.
- (7) Contractor shall send an electronic communication to the Data Submitter along with the Pharmacist In Charge (or other resource identified by the individual responsible for the Dispenser's DEA number) indicating the number of: records received, Data Submission Errors, and Data Submission Warnings. The electronic communication shall contain, but not be limited to: an indicator for all errors and warnings in the Data Submission along with the date of submission and the Rx Number. The electronic communication shall not contain sensitive information but can contain a link to take User directly to data inside the System that needs review. When link is clicked, the User shall be prompted to input required credentials to view the information. The Contractor shall provide a web-based dashboard for Data Submitters to view and correct data submission errors or warnings.
- (8) Contractor shall generate an electronic notification (delinquent notification) when a Data Submitter has not submitted data or a report with no records/data (e.g., Zero Report) as required by State regulations or statutes. The notification shall be sent to the Data Submitter (individual submitter, Central Reporter, software contractor) and to the DEA Registrant or PIC. Contractor shall create a report to show the delivery status of these electronic notifications. Electronic notifications shall run on a frequency determined by the State.
- (9) Contractor shall automatically notify Data Submitter, PIC, or other resource identified by individual responsible for the DEA number of non-compliance, untimely data submissions, or records with errors or warnings based on State requirements.
- (10) Contractor shall remind Data Submitters that they have outstanding errors or warning corrections periodically on a frequency determined by the State with a configurable automated electronic notification. The electronic notification shall not contain sensitive information but can contain a link to take User directly to data inside the System that needs review. When link is clicked, the User shall be prompted to input required credentials to view the information.

i. Interoperability and Integration –

- (1) Contractor shall provide the State with Integration services capable of interstate data sharing.
- (2) Contractor shall permit the State to enroll an unlimited number of Integration Authorized Users to securely integrate the PDMP System with EHRs, pharmacy management systems, HIEs, and any other parties using RxCheck, PMP Gateway, or the System API pursued by the State at no additional cost or individual user fee to the State or Integration Authorized User.
- (3) Contractor shall permit the State to enroll an unlimited number of Integration Licensees to securely integrate the PDMP System with EHRs, pharmacy management systems, HIEs, and any other parties pursued by the State at no additional cost to the State or Integration Authorized Entity.
- (4) Contractor shall permit the State to enroll an unlimited number of Integration Authorized Entities to securely integrate the PDMP System with EHRs, pharmacy management systems, HIEs, and any other parties pursued by the State at no additional cost to the State or Integration Licensee
- (5) Contractor shall ensure conformance, data quality, and completeness that includes reporting of certain internal control measures to the State for our review and set expectations for issue resolution and mitigation within a State approved timeline at no additional cost to the State.
- (6) Contractor shall facilitate the interoperability of the System, without restriction, with other states' PDMP and State approved integrations.
- (7) Contractor shall provide integration services as determined by the State for interoperability with other states' PDMP, EHRs, pharmacy management systems, and HIEs.
- (8) Contractor shall follow the responsive web design approach to provide optimal viewing and interaction experience. Contractor shall support browsers as determined by the State including but not limited to: Microsoft Edge, Mozilla Firefox, Apple Safari and Google Chrome.
- (9) Contractor shall develop an End User Licensing Agreement ("EULA"), approved by the State, for each Integration Authorized User or Entity ("Licensee"), to be signed at the time of registration, which shall, at a minimum, address the following:
  - a. The State shall determine whether each Integration Authorized User and/or Entity may be granted access to data through Contractor's integration service.
  - b. Each Integration Authorized User and/or Entity shall ensure that its credentialing processes follow state and federal law and shall be responsible for ensuring only approved individuals access the Contractor's integration service.
  - c. Contractor shall reserve the right to suspend and/or withhold, at any time, data from any Integration Authorized User or Entity upon the State's request and shall provide notice of this suspension and/or withholding of data to the Integration Authorized User or Entity.
  - d. Licensees must provide Contractor with any information necessary for auditing all searches and use of CSMD information
  - e. Contractor shall develop policies and procedures to protect confidential information.
- (10) Contractor shall provide the State with a sample EULA within ninety (90) days of the Effective Date of the Contract. The State shall reserve the right to request any changes to this agreement. Contractor shall incorporate any changes into this agreement with thirty (30) days of receipt of the State's request.

- (11) Contractor and State shall work together to create a Terms and Conditions agreement for each Integration Authorized User or Entity to be signed at the time of registration, which shall be between the Licensee and the Tennessee CSMD. This agreement shall, at a minimum, address the following:
- (a) The State shall determine whether each Integration Authorized User and/or Entity may be granted access to data through Contractor's integration service.
  - (b) Each Integration Authorized User and/or Entity shall ensure that its credentialing processes follow state and federal law and shall be responsible for ensuring only approved individuals access the Contractor's integration service.
  - (c) The State's right to suspend any Licensee or withhold CSMD data from any licensee at any time and for any reason.
  - (d) Data received from System by any Licensee shall immediately become part of the patient's medical record.
  - (e) A waiver of liability for the State.
  - (f) A hold harmless provision for the State.
  - (g) A choice of law provision providing that the Terms and Conditions shall be governed and interpreted under Tennessee law and that all licensees shall be subject to the jurisdiction of the State of Tennessee.
- (12) Contractor shall provide the State with a sample Terms and Conditions Agreement within ninety (90) days of the Effective Date of the Contract. The State shall reserve the right to request any changes to this agreement at any time. Contractor shall incorporate any changes into this agreement with thirty (30) days of receipt of the State's request.

j. Documentation –

- (1) Contractor shall provide the State with a comprehensive Entity Relationship Diagram (ERD) of any databases created on behalf of the State. Contractor shall support indexing requests by the State on this database within three (3) business days at no additional charge.
- (2) Contractor shall provide a Data Dictionary for all Systems and applications created on behalf of State. Data Dictionary will be up to date, contain relevant mapping and documentation for the associated metadata.
- (3) Contractor shall inform the State regarding all Data Dictionary changes made to the System within fourteen (14) calendar days from the time the System change occurred.
- (4) Contractor shall provide the State with a Data Dictionary including, but not limited to, the following information: referential integrity, all columns of all the tables of the database, data type, null values, description, value sets and if abbreviated, ensure clear understanding, database constraints, key constraints (foreign and primary), indexes, default constraint, and ordinal position.

k. IP Addresses –

- (1) Contractor shall inform the State regarding all changes to any IP address that will impact any of the Systems covered under this Contract via email from Contractor to State no later than forty-five (45) calendar days prior to any change being placed in production. In addition, Contractor shall communicate electronically with all State Data Submitters or any other Users or third parties affected by the IP address change that may impact the User's ability to perform their current responsibilities required by the State.



I. System –

- (1) Contractor shall provide the State a controlled substance dispensation history as authorized by User role determined by the State.
- (2) Contractor shall provide the State a log off feature that enables a User to log off without closing the Internet browser.
- (3) Contractor shall allow the State to add links to websites/pages to the System.
- (4) Contractor shall allow the State to require approval from the State on any verbiage listed in a communication generated from the System.
- (5) Contractor shall provide the State with a comprehensive, intuitive web portal that is branded for the State. The website design and branding shall comply with State's branding policy, standards for electronic and printed materials per the Tennessee State Government Brand Identity Guidelines. Design is subject to written approval by the State.

m. PDMP Legal Requirements –

- (1) Contractor shall adhere to the legal requirements set forth in the Tenn. Code Ann. §§ 53-10-301 *et. seq.*, the Rules of the Tennessee Board of Pharmacy 1140-11, the Rules of the Tennessee Department of Health 1145-01, any applicable policies of the State of Tennessee, and all other applicable State legal requirements.

n. Reports and Documentation –

- (1) Contractor shall allow the State Administrators the ability to generate any report in the System that a User can generate.
- (2) Contractor shall develop Work Plan based on the project methodology agreed upon with the State. Work Plan shall include, without limitation, schedule, tasks, deliverables, critical events, and task dependencies. The Work Plan shall be updated no less than every two (2) weeks.
- (3) Contractor shall provide all User, technical and System documentation as well as program schedules, plans, status reports, and correspondence to the State and shall maintain and update the Work Plan. Contractor shall allow State authorized users to search documentation in an online and searchable format with ability for the State to download in native format including but not limited to: pdf and csv.
- (4) Contractor shall provide the State with a Data Traceability document from intake of data into the Data Collection application (manual and/or automated Data Submissions) to the other application used to view the dispensation data. All access points shall conform to State Data Governance standards. Documentation shall be provided at an agreed upon number of days or at least ninety (90) days prior to the targeted initial System utilization date. This information shall be provided for data entry to System access points without exception.
- (5) Contractor shall provide the State with Work Plan and Migration plans no later than ninety (90) days after the Effective Date of the Contract.
- (6) Contractor shall allow APRN and PA User roles the ability to select a Supervisor when generating reports.

o. Customer Support Ticket Solution –

- (1) Contractor shall provide the State a customer service ticket report that includes, but is not limited to, the following data elements: ticket number, description of issue, date reported, status of issue, estimated resolution date (if not resolved), date resolved, and resolution. NOTE: Tickets shall not be closed due to non-response by the State or State's customer (s) unless State authorizes closure of the ticket.

- (2) Contractor will provide the State with a customer service helpdesk for Data Submitters to report issues via phone and an online ticket submission solution that shall be available twenty-four (24) hours a day, seven (7) days a week, three hundred sixty-five (365) days a year. Contractor shall provide a method for Data Submitters to share PII/PHI regarding the issue.
- (3) Contractor shall provide a report to the State of Data Submitter issues reported to the Contractor's helpdesk on a weekly basis or provide the State with direct access to the online ticket submission solution.

p. Security of Data –

- (1) Contractor shall share all original documentation pertaining to scans and security audits to the State (e.g., HITRUST and HITECH scans).
- (2) Contractor shall ensure the security of the System by creating User and role based requirements defined by the State to qualify individuals authorized to login, submit, or query the System.
- (3) Contractor shall not share or release any data collected on behalf of or created by System for the State for data analytics to third parties without the prior express written permission from the State.
- (4) Contractor shall safeguard the release of information to authorized Users and State CSMD personnel and ensure the privacy of the information.
- (5) Contractor shall understand, accept, and acknowledge that the data collected, maintained, and used within the System is owned by the State. Contractor shall allow State access to all data and elements in a simple manner as well as raw data extracts. Notwithstanding any other provision in this Contract, Contractor shall record and maintain for reference, for a period of at least eight (8) years, or another period of time as required by the State, the following activities: 1) the identification of each person who requests or receives information from the database, 2) the information provided to each person, and 3) the date and time the information is requested or provided.

q. Source Data for Validations -

- (1) Contractor shall ensure the State access to the following data sources:
  - i. All DEA numbers shall be validated against a source determined by the State
    - a. Contractor shall have DEA registrant source data updated daily for use with all Systems developed for the State
  - ii. State Professional licensure numbers shall be validated against a source determined by the State
    - a. Contractor shall have an API to validate State Professional licenses
  - iii. Driver's license shall be validated against a source determined by the State
    - a. Contractor shall have an API to validate Driver's licenses
  - iv. All National Drug Code (NDC) numbers shall be validated against a source determined by the State
    - a. Contractor shall have an API (or source data file that shall be updated at intervals not to exceed seven (7) calendar days) to validate NDC numbers
  - v. NPI numbers shall be validated against a source determined by the State
    - a. Contractor shall have an API (or source data fill that shall be updated at intervals not to exceed seven (7) calendar days) to validate NPI numbers
  - vi. ICD-10 codes shall be validated against a source determined by the State

- a. Contractor shall have an API (or source data file that shall be updated at least twice a month) to validate ICD-10 codes
- vii. US Postal Service address standardization data shall be validated against a source determined by the State
  - a. Contractor shall have an API (or source data file that shall be updated at least twice a month) to validate US Postal Service address standardization data
- r. Support and Maintenance –
  - (1) Contractor shall identify a regularly scheduled maintenance window (such as weekly, bi-weekly, monthly, or quarterly) at which time all relevant server patches and System upgrades shall be applied.
  - (2) Contractor shall provide the State the capability to dynamically change contact information and helpful links.
  - (3) Contractor shall repair or replace any hardware or software, or any portion thereof, to maintain the System to operate in accordance with the specifications, terms, and requirements of the contract throughout the life of the contract.
  - (4) Contractor shall maintain a record of all repair or maintenance activities performed for the State during the Term of the Contract and until all such records have been transferred to the State, and the State confirms receipt upon expiration or termination of the Contract. These reports shall include, but are not limited to: Server up time logs, all “Authorization to Modify” requests that were implemented, operating System patches, critical outages, etc.
  - (5) Contractor shall create and implement a management policy for notification and tracking of Authorizations to Modify as well as critical outages. Contractor shall provide the State with a copy of this policy within ninety (90) days of the Effective Date of the Contract.
  - (6) Contractor shall provide a third party-uptime monitoring of the System which shall notify the State of any downtime or System degradation that occurs in any part of the System.
  - (7) Contractor shall provide the State with a System that is available twenty-four (24) hours a day, seven (7) days a week, three hundred sixty-five (365) days a year, with the exception of pre-planned maintenance.
  - (8) Contractor shall communicate and provide the State with support during an upgrade to a new American Society for Automation in Pharmacy (ASAP) version to Data Submitters to ensure a successful transition to the new version.
- s. Testing/Training –
  - (1) Contractor shall provide the State with User training and documentation for System Users accessible over the internet.
  - (2) Contractor shall provide the State with training either on site or virtually to State Administrator (s). Training to occur no later than ten (10) days before implementation to production. Training support will continue until entire System is stable.
- t. State User Acceptance Testing –
  - (1) Contractor shall provide the State with documentation (“Release Notes”) regarding solution/enhancement deployment to a State identified resource. State identified resource will be the main point of contact to communicate with the Contractor. This includes communicating UAT findings. State shall approve documentation when all features/functionality pass State UAT before

resolution/enhancement can be deployed to the System's Production Environment.

u. Kickoff and Pilot –

- (1) Contractor shall host an initial kick-off meeting to meet key stakeholders involved in this partnership with the State scheduled in agreement with the State within thirty (30) calendar days of the Effective Date of the Contract.
- (2) Contractor shall provide a pilot, which shall include a live test in the Production Environment for Users to test functionality and basic usage of the System, if needed, to be created and approved in conjunction with the State.

A.4. Migration – Contractor shall provide a System that ensures that all data migration services are met including the following:

a. Migration Plan

- (1) Contractor shall create migration documentation to be approved by the State (migration plan), for the data submission System, the PDMP System, and any System or services that attach to the System including scripts and a validation process, to identify how data will be mapped from the old Systems to new Systems. This documentation shall clearly identify Gaps and how those Gaps will be addressed.
- (2) Contractor shall collaborate with the State to perform an analysis to determine which data elements are absolutely required to be migrated to the new System. Contractor will migrate these data elements and provide documentation to validate the data was correctly mapped and migrated to the new Systems prior to State approving move to Production Environment.
- (3) Contractor shall collaborate with the State and, if necessary, with the State's current contractor in its execution of the migration plan. Contractor shall work with the State and if/when necessary, with the State's current contractor until all data is successfully migrated. Contractor shall make the State a party to all discussions with the State's current contractor regarding migration of data, or with the State's express permission, may make the correspondence or notes of the correspondence, available to the State upon request by the State at a later date.
- (4) Contractor shall provide the State with a comprehensive migration plan for the entire System within ninety (90) days of the Effective Date of the Contract.
- (5) Contractor shall include, at a minimum, the requirements in Section A.4. b-h and any requirements in Attachment 1 into the migration plan.
- (6) At the conclusion of this Contract, Contractor shall prepare data listed in the existing Data Collection and CSMD applications for migration to a new platform to be determined upon award of any new Request For Proposal contract. If applicable, the Contractor shall work with the awarded PDMP vendor to transfer data determined by the migration plan. Specific data fields to be migrated and data migration process will be determined in a migration plan agreed upon by the State and the Contractor. Contractor shall make the State a party to all discussions with the State's new contractor regarding migration of data, or with the State's express permission, may make the correspondence or notes of the correspondence, available to the State upon request by the State at a later date.

b. Registration

- (1) Migration of registration activities approved and denied shall be archived and made available through a Contractor reporting tool provided to State Administrator(s) for generation of reports required by the State.

c. Clinical Risk Indicators

- (1) Migration of data shall include the previous five (5) weeks of Clinical Risk Indicator notification history to be populated appropriately to User profiles and be available for State Administrator (s) reports.

d. User Profiles

- (1) Migration of User Profiles shall include, but is not limited to:
  - a. Role, DEA number, DEA suffix, Professional license number and state that issued the license, NPI, prefix, first name, middle name, last name, suffix, date of birth, last 4 of SSN, driver license number and state that issued the driver license, home phone (optional), mobile phone, Specialty, email address, a feature to bypass validations for DEA, professional license or driver license, Username, password, date the account was approved and a section only visible to State Administrator(s) to enter text comments regarding this specific account, each location (unlimited number of locations) shall include DEA Number, Sub-specialty, organization, address, city, state, zip, work phone, fax number (optional), clinical notification preferences, indicate if User dispenses medications and three (3) security questions and responses.
- (2) Migration of User Profiles with supervisory account Delegate relationships (unlimited number of Delegates) shall include the fields listed in A.4.d.(1)(a) along with: Delegate information to include: first name, last name, phone number and email address, Practitioner location name, street, city and zip, license type and current Delegate status. Note that the history of the of Supervisory relationships shall be included. History would include date of any approvals, date of any denials, and date if Delegate severs the relationship and date if Supervisor severs the relationship.
- (3) Migration of User profiles can only include active Users' profile accounts. Access to the inactive accounts can be made available through a Contractor reporting tool provided to State Administrator(s) for generation of reports required by the State.
- (4) Contractor shall provide a process to prevent duplicate accounts from being created during the migration to the new System. The duplicate prevention process shall be approved by the State.

e. Data Submitters

- (1) Migration of Data Submitter User profiles shall include all data elements currently in the active User profiles to be including but not limited to: Role, all DEA numbers in DEA detail section (DEA number, names, address, identification if Federal dispenser or dispensing practitioner, dispenser type, NCPDP number, NPI number, State license number, days of operation (this is specific to this unique DEA number), contact first name, contact last name, and email address, method of data upload, Profile Information: organization, occupation, Pharmacist state license number, issuing State, first name, middle name, last name, date of birth, last four of SSN, contact Information: care of, address, city, state, zip, mobile phone, fax number, work phone, extension, email address, security questions, User account: Username, approval date, password expiration and comments section.

f. Data Backup

- (1) Migration data backup solutions shall be provided by Contractor to restore data into the System with no data loss.

g. Tables

- (1) Tables in the current database shall be analyzed by the Contractor and the State and only data associated with the years identified by the State for dispensations shall be migrated for Prescribers, Dispensers, and Dispensations. All old database information would be archived and provided to State in a database format agreed upon by Contractor and State.

h. Technical Support

- (1) Contractor shall provide the State's technology team with technical support as required during migration, implementation and once in production of the new Systems. The training and support cost and timeline shall be included in the Contractor's migration plan.

A.5. The State may, at its sole discretion and with written notice to the Contractor, request changes in the Scope that are necessary but were inadvertently unspecified in this Contract.

- a. Change Order Creation— After receipt of a written request for additional services from the State, the Contractor shall respond to the State, within a maximum of ten (10) business days, with a written proposal for completing the service. Contractor's proposal shall specify:

- (1) the effect, if any, of implementing the requested change(s) on all other services required under this Contract;
- (2) the specific effort involved in completing the change(s);
- (3) the expected schedule for completing the change(s);
- (4) the maximum number of person hours required for the change(s); and
- (5) the maximum cost for the change(s)— this maximum cost shall in no instance exceed the product of the person hours required multiplied by the appropriate payment rate proposed for such work.

The Contractor shall not perform any additional service until the State has approved the proposal. If approved, the State will sign the proposal, and it shall constitute a Change Order between the Contract Parties pertaining to the specified change(s) and shall be incorporated, hereby, as a part of this Contract.

- b. Change Order Performance— Subsequent to creation of a Change Order, the Contractor shall complete the required services. The State will be the sole judge of the acceptable completion of work and, upon such determination, shall provide the Contractor written approval.
- c. Change Order Remuneration— The State will remunerate the Contractor only for acceptable work. All acceptable work performed pursuant to an approved Change Order, without a formal amendment of this Contract, shall be remunerated in accordance with and further limited by Contract Section C.3.c., PROVIDED THAT, the State shall be liable to the Contractor only for the cost of the actual goods or services provided to complete the necessary work, not to exceed the maximum cost for the change detailed in the Change Order. In no instance shall the State be liable to the Contractor for any amount exceeding the maximum cost specified by the Change Order authorizing the goods or services. Upon State approval of the work, the Contractor shall invoice the State in accordance with the relevant provisions of this Contract.

A.6. Warranty. Contractor represents and warrants that the term of the warranty ("Warranty Period") shall be the greater of the Term of this Contract or any other warranty generally offered by Contractor, its suppliers, or manufacturers to customers of its goods or services. The goods or

services provided under this Contract shall conform to the terms and conditions of this Contract throughout the Warranty Period. Any nonconformance of the goods or services to the terms and conditions of this Contract shall constitute a "Defect" and shall be considered "Defective." If Contractor receives notice of a Defect during the Warranty Period, then Contractor shall correct the Defect, at no additional charge.

Contractor represents and warrants that the State is authorized to possess and use all equipment, materials, software, and deliverables provided under this Contract.

Contractor represents and warrants that all goods or services provided under this Contract shall be provided in a timely and professional manner, by qualified and skilled individuals, and in conformity with standards generally accepted in Contractor's industry.

If Contractor fails to provide the goods or services as warranted, then Contractor will re-provide the goods or services at no additional charge. If Contractor is unable or unwilling to re-provide the goods or services as warranted, then the State shall be entitled to recover the fees paid to Contractor for the Defective goods or services. Any exercise of the State's rights under this Section shall not prejudice the State's rights to seek any other remedies available under this Contract or applicable law.

- A.7. Inspection and Acceptance. The State shall have the right to inspect all goods or services provided by Contractor under this Contract. If, upon inspection, the State determines that the goods or services are Defective, the State shall notify Contractor, and Contractor shall re-deliver the goods or provide the services at no additional cost to the State. If after a period of thirty (30) days following delivery of goods or performance of services the State does not provide a notice of any Defects, the goods or services shall be deemed to have been accepted by the State.

- A.8. The Contractor shall limit resources to US-based (onshore) resources only.

**B. TERM OF CONTRACT:**

This Contract shall be effective on **DATE** ("Effective Date") and extend for a period of **sixty (60) months** after the Effective Date ("Term"). The State shall have no obligation for goods or services provided by the Contractor prior to the Effective Date.

**C. PAYMENT TERMS AND CONDITIONS:**

- C.1. Maximum Liability. In no event shall the maximum liability of the State under this Contract exceed **WRITTEN AMOUNT (\$NUMBER)** ("Maximum Liability"). This Contract does not grant the Contractor any exclusive rights. The State does not guarantee that it will buy any minimum quantity of goods or services under this Contract. Subject to the terms and conditions of this Contract, the Contractor will only be paid for goods or services provided under this Contract after a purchase order is issued to Contractor by the State or as otherwise specified by this Contract.

- C.2. Compensation Firm. The payment methodology in Section C.3. of this Contract shall constitute the entire compensation due the Contractor for all goods or services provided under this Contract regardless of the difficulty, materials or equipment required. The payment methodology includes all applicable taxes, fees, overhead, and all other direct and indirect costs incurred or to be incurred by the Contractor.

- C.3. Payment Methodology. The Contractor shall be compensated based on the payment methodology for goods or services authorized by the State in a total amount as set forth in Section C.1.

- a. The Contractor's compensation shall be contingent upon the satisfactory provision of goods or services as set forth in Section A.

- b. The Contractor shall be compensated based upon the following payment methodology:

**Milestone-based Payments:**

One Hundred percent (100%) of the total Professional Services fees are considered milestone-based payments and shall be payable as follows upon the occurrence and Acceptance by Client of the milestones identified herein (each, a "Milestone"). Cents will be rounded to the nearest hundredth in each milestone. To the extent not expressly defined herein, such Milestone shall be defined in the Project Plan, including acceptance criteria:

Project Milestone		Percentage of Total Implementation Cost	
Payment Milestone 1 - Project Kickoff / Project Management Planning (12.5% of payment milestones 1 through 8)	\$ / (one-time charge)	1	
Payment Milestone 2 - Completion of Model System Design (12.5% of payment milestones 1 through 8)	\$ / (one-time charge)	1	
Payment Milestone 3 - Completion of Functional Testing/Training Environment (12.5% of payment milestones 1 through 8)	\$ / (one-time charge)	1	
Payment Milestone 4 - Completion of Integration Testing (12.5% of payment milestones 1 through 8)	\$ / (one-time charge)	1	
Payment Milestone 5 - Completion of Migration of Data (12.5% of payment milestones 1 through 8)	\$ / (one-time charge)	1	
Payment Milestone 6 - Completion of End User Training(12.5% of payment milestones 1 through 8)	\$ / (one-time charge)	1	
Payment Milestone 7 - Completion of Go-Live (10% of payment milestones 1 through 8)	\$ / (one-time charge)	1	
Payment Milestone 8 - Completion of Post Go-Live Optimization (15% of payment milestones 1 through 8)	\$ / (one-time charge)	1	
Year 1 Quarterly Maintenance & Operations Cost	\$ / Quarter	4	



Year 2 Quarterly Maintenance & Operations Cost	\$ / Quarter	4	
Year 3 Quarterly Maintenance & Operations Cost	\$ / Quarter	4	
Year 4 Quarterly Maintenance & Operations Cost	\$ / Quarter	4	
Year 5 Quarterly Maintenance & Operations Cost	\$ / Quarter	4	
Training Session- Virtual	\$ / Hour	100	
Training Session - In-person/onsite	\$ / Hour	40	
API for Driver's License	\$/month	60	
Migration of data from Data Collection	\$ /month	60	

- c. The Contractor shall be compensated for changes requested and performed pursuant to Contract Section A.5., without a formal amendment of this Contract based upon the payment rates detailed in the schedule below and as agreed pursuant to Section A.5., PROVIDED THAT compensation to the Contractor for such "modification order" work shall not exceed SEVEN PERCENT (7%) of the sum of milestone payment rates detailed in Section C.3.b., above (which is the total cost for the milestones and associated deliverables set forth in Contract Sections A.3. through A.4.). If, at any point during the Term, the State determines that the cost of necessary "modification order" work would exceed the maximum amount, the State may amend this Contract to address the need.

Service Description	Amount (per compensable increment)
Change Order, as described in Section A.8	\$ per hour
<b>NOTE: The Contractor shall not be compensated for travel time to the primary location of service provision.</b>	

- C.4. Travel Compensation. The Contractor shall not be compensated or reimbursed for travel time, travel expenses, meals, or lodging.
- C.5. Invoice Requirements. The Contractor shall invoice the State only for goods delivered and accepted by the State or services satisfactorily provided at the amounts stipulated in Section C.3., above. Contractor shall submit invoices and necessary supporting documentation, no more frequently than once a month, and no later than thirty (30) days after goods or services have been provided to the following address:

Controlled Substance Monitoring Database Program  
c/o Tennessee Board of Pharmacy

665 Mainstream Drive, 2nd Floor  
 Nashville, TN 37243  
[Admin.CSMD@tn.gov](mailto:Admin.CSMD@tn.gov)

- a. Each invoice, on Contractor's letterhead, shall clearly and accurately detail all of the following information (calculations must be extended and totaled correctly):
  - (1) Invoice number (assigned by the Contractor);
  - (2) Invoice date;
  - (3) Contract number (assigned by the State);
  - (4) Customer account name: Department of Health, Division of Health Licensure and Regulation, Board of Pharmacy, CSMD;
  - (5) Customer account number (assigned by the Contractor to the above-referenced Customer);
  - (6) Contractor name;
  - (7) Contractor Tennessee Edison registration ID number;
  - (8) Contractor contact for invoice questions (name, phone, or email);
  - (9) Contractor remittance address;
  - (10) Description of delivered goods or services provided and invoiced, including identifying information as applicable;
  - (11) Number of delivered or completed units, increments, hours, or days as applicable, of each good or service invoiced;
  - (12) Applicable payment methodology (as stipulated in Section C.3.) of each good or service invoiced;
  - (13) Amount due for each compensable unit of good or service; and
  - (14) Total amount due for the invoice period.
- b. Contractor's invoices shall:
  - (1) Only include charges for goods delivered or services provided as described in Section A and in accordance with payment terms and conditions set forth in Section C;
  - (2) Only be submitted for goods delivered or services completed and shall not include any charge for future goods to be delivered or services to be performed;
  - (3) Not include Contractor's taxes, which includes without limitation Contractor's sales and use tax, excise taxes, franchise taxes, real or personal property taxes, or income taxes; and
  - (4) Include shipping or delivery charges only as authorized in this Contract.
- c. The timeframe for payment (or any discounts) begins only when the State is in receipt of an invoice that meets the minimum requirements of this Section C.5.

C.6. Payment of Invoice. A payment by the State shall not prejudice the State's right to object to or question any payment, invoice, or other matter. A payment by the State shall not be construed as acceptance of goods delivered, any part of the services provided, or as approval of any amount invoiced.

C.7. Invoice Reductions. The Contractor's invoice shall be subject to reduction for amounts included in any invoice or payment that is determined by the State, on the basis of audits conducted in accordance with the terms of this Contract, to not constitute proper compensation for goods delivered or services provided.

C.8. Deductions. The State reserves the right to deduct from amounts, which are or shall become due and payable to the Contractor under this or any contract between the Contractor and the State of Tennessee, any amounts that are or shall become due and payable to the State of Tennessee by the Contractor.

C.9. Prerequisite Documentation. The Contractor shall not invoice the State under this Contract until the State has received the following, properly completed documentation.

- a. The Contractor shall complete, sign, and present to the State the "Authorization Agreement for Automatic Deposit Form" provided by the State. By doing so, the Contractor acknowledges and agrees that, once this form is received by the State, payments to the Contractor, under this or any other contract the Contractor has with the State of Tennessee, may be made by ACH; and
- b. The Contractor shall complete, sign, and return to the State the State-provided W-9 form. The taxpayer identification number on the W-9 form must be the same as the Contractor's Federal Employer Identification Number or Social Security Number referenced in the Contractor's Edison registration information.

**D. MANDATORY TERMS AND CONDITIONS:**

- D.1. Required Approvals. The State is not bound by this Contract until it is duly approved by the Parties and all appropriate State officials in accordance with applicable Tennessee laws and regulations. Depending upon the specifics of this Contract, this may include approvals by the Commissioner of Finance and Administration, the Commissioner of Human Resources, the Comptroller of the Treasury, and the Chief Procurement Officer. Approvals shall be evidenced by a signature or electronic approval.
- D.2. Communications and Contacts. All instructions, notices, consents, demands, or other communications required or contemplated by this Contract shall be in writing and shall be made by certified, first class mail, return receipt requested and postage prepaid, by overnight courier service with an asset tracking system, or by email or facsimile transmission with recipient confirmation. All communications, regardless of method of transmission, shall be addressed to the respective Party at the appropriate mailing address, facsimile number, or email address as stated below or any other address provided in writing by a Party.

The State:

Dr. Peter Phillips, D.Ph., Director of the Controlled Substance Monitoring Database  
Tennessee Department of Health  
Division of Health Licensure and Regulation  
Board of Pharmacy  
665 Mainstream Drive, 2nd Floor  
Nashville TN 37243  
Email: peter.j.phillips@tn.gov  
Phone: 615-253-1300

The Contractor:

Contractor Contact Name & Title  
Contractor Name  
Address  
Email Address  
Telephone # Number  
FAX # Number

All instructions, notices, consents, demands, or other communications shall be considered effective upon receipt or recipient confirmation as may be required.

- D.3. Modification and Amendment. This Contract may be modified only by a written amendment signed by all Parties and approved by all applicable State officials.
- D.4. Subject to Funds Availability. The Contract is subject to the appropriation and availability of State or federal funds. In the event that the funds are not appropriated or are otherwise unavailable,

the State reserves the right to terminate this Contract upon written notice to the Contractor. The State's exercise of its right to terminate this Contract shall not constitute a breach of Contract by the State. Upon receipt of the written notice, the Contractor shall cease all work associated with the Contract. If the State terminates this Contract due to lack of funds availability, the Contractor shall be entitled to compensation for all conforming goods requested and accepted by the State and for all satisfactory and authorized services completed as of the termination date. Should the State exercise its right to terminate this Contract due to unavailability of funds, the Contractor shall have no right to recover from the State any actual, general, special, incidental, consequential, or any other damages of any description or amount.

- D.5. Termination for Convenience. The State may terminate this Contract for convenience without cause and for any reason. The State shall give the Contractor at least thirty (30) days written notice before the termination date. The Contractor shall be entitled to compensation for all conforming goods delivered and accepted by the State or for satisfactory, authorized services completed as of the termination date. In no event shall the State be liable to the Contractor for compensation for any goods neither requested nor accepted by the State or for any services neither requested by the State nor satisfactorily performed by the Contractor. In no event shall the State's exercise of its right to terminate this Contract for convenience relieve the Contractor of any liability to the State for any damages or claims arising under this Contract.
- D.6. Termination for Cause. If the Contractor fails to properly perform its obligations under this Contract in a timely or proper manner, or if the Contractor materially violates any terms of this Contract ("Breach Condition"), the State shall have the right to immediately terminate the Contract and withhold payments in excess of compensation for completed services or provided goods. Notwithstanding the above, the Contractor shall not be relieved of liability to the State for damages sustained by virtue of any Breach Condition and the State may seek other remedies allowed at law or in equity for breach of this Contract.
- D.7. Assignment and Subcontracting. The Contractor shall not assign this Contract or enter into a subcontract for any of the goods or services provided under this Contract without the prior written approval of the State. Notwithstanding any use of the approved subcontractors, the Contractor shall be the prime contractor and responsible for compliance with all terms and conditions of this Contract. The State reserves the right to request additional information or impose additional terms and conditions before approving an assignment of this Contract in whole or in part or the use of subcontractors in fulfilling the Contractor's obligations under this Contract.
- D.8. Conflicts of Interest. The Contractor warrants that no part of the Contractor's compensation shall be paid directly or indirectly to an employee or official of the State of Tennessee as wages, compensation, or gifts in exchange for acting as an officer, agent, employee, subcontractor, or consultant to the Contractor in connection with any work contemplated or performed under this Contract.
- The Contractor acknowledges, understands, and agrees that this Contract shall be null and void if the Contractor is, or within the past six (6) months has been, an employee of the State of Tennessee or if the Contractor is an entity in which a controlling interest is held by an individual who is, or within the past six (6) months has been, an employee of the State of Tennessee.
- D.9. Nondiscrimination. The Contractor hereby agrees, warrants, and assures that no person shall be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of this Contract or in the employment practices of the Contractor on the grounds of handicap or disability, age, race, creed, color, religion, sex, national origin, or any other classification protected by federal or state law. The Contractor shall, upon request, show proof of nondiscrimination and shall post in conspicuous places, available to all employees and applicants, notices of nondiscrimination.
- D.10. Prohibition of Illegal Immigrants. The requirements of Tenn. Code Ann. § 12-3-309 addressing the use of illegal immigrants in the performance of any contract to supply goods or services to the State of Tennessee, shall be a material provision of this Contract, a breach of which shall be grounds for monetary and other penalties, up to and including termination of this Contract.

- a. The Contractor agrees that the Contractor shall not knowingly utilize the services of an illegal immigrant in the performance of this Contract and shall not knowingly utilize the services of any subcontractor who will utilize the services of an illegal immigrant in the performance of this Contract. The Contractor shall reaffirm this attestation, in writing, by submitting to the State a completed and signed copy of the document at Attachment 2, semi-annually during the Term. If the Contractor is a party to more than one contract with the State, the Contractor may submit one attestation that applies to all contracts with the State. All Contractor attestations shall be maintained by the Contractor and made available to State officials upon request.
  - b. Prior to the use of any subcontractor in the performance of this Contract, and semi-annually thereafter, during the Term, the Contractor shall obtain and retain a current, written attestation that the subcontractor shall not knowingly utilize the services of an illegal immigrant to perform work under this Contract and shall not knowingly utilize the services of any subcontractor who will utilize the services of an illegal immigrant to perform work under this Contract. Attestations obtained from subcontractors shall be maintained by the Contractor and made available to State officials upon request.
  - c. The Contractor shall maintain records for all personnel used in the performance of this Contract. Contractor's records shall be subject to review and random inspection at any reasonable time upon reasonable notice by the State.
  - d. The Contractor understands and agrees that failure to comply with this section will be subject to the sanctions of Tenn. Code Ann. § 12-3-309 for acts or omissions occurring after its effective date.
  - e. For purposes of this Contract, "illegal immigrant" shall be defined as any person who is not: (i) a United States citizen; (ii) a Lawful Permanent Resident; (iii) a person whose physical presence in the United States is authorized; (iv) allowed by the federal Department of Homeland Security and who, under federal immigration laws or regulations, is authorized to be employed in the U.S.; or (v) is otherwise authorized to provide services under the Contract.
- D.11. Records. The Contractor shall maintain documentation for all charges under this Contract. The books, records, and documents of the Contractor, for work performed or money received under this Contract, shall be maintained for a period of five (5) full years from the date of the final payment and shall be subject to audit at any reasonable time and upon reasonable notice by the State, the Comptroller of the Treasury, or their duly appointed representatives. The financial statements shall be prepared in accordance with generally accepted accounting principles.
- D.12. Monitoring. The Contractor's activities conducted and records maintained pursuant to this Contract shall be subject to monitoring and evaluation by the State, the Comptroller of the Treasury, or their duly appointed representatives.
- D.13. Progress Reports. The Contractor shall submit brief, periodic, progress reports to the State as requested.
- D.14. Strict Performance. Failure by any Party to this Contract to require, in any one or more cases, the strict performance of any of the terms, covenants, conditions, or provisions of this Contract shall not be construed as a waiver or relinquishment of any term, covenant, condition, or provision. No term or condition of this Contract shall be held to be waived, modified, or deleted except by a written amendment signed by the Parties.
- D.15. Independent Contractor. The Parties shall not act as employees, partners, joint venturers, or associates of one another. The Parties are independent contracting entities. Nothing in this Contract shall be construed to create an employer/employee relationship or to allow either Party to exercise control or direction over the manner or method by which the other transacts its

business affairs or provides its usual services. The employees or agents of one Party are not employees or agents of the other Party.

- D.16. Patient Protection and Affordable Care Act. The Contractor agrees that it will be responsible for compliance with the Patient Protection and Affordable Care Act ("PPACA") , 42 USC § 18001 *et seq.* with respect to itself and its employees, including any obligation to report health insurance coverage, provide health insurance coverage, or pay any financial assessment, tax, or penalty for not providing health insurance. The Contractor shall indemnify the State and hold it harmless from any costs to the State arising from Contractor's failure to fulfill its PPACA responsibilities for itself or its employees.
- D.17. Limitation of State's Liability. The State shall have no liability except as specifically provided in this Contract. In no event will the State be liable to the Contractor or any other party for any lost revenues, lost profits, loss of business, decrease in the value of any securities or cash position, time, goodwill, or any indirect, special, incidental, punitive, exemplary or consequential damages of any nature, whether based on warranty, contract, statute, regulation, tort (including but not limited to negligence), or any other legal theory that may arise under this Contract or otherwise. The State's total liability under this Contract (including any exhibits, schedules, amendments or other attachments to the Contract) or otherwise shall under no circumstances exceed the Maximum Liability. This limitation of liability is cumulative and not per incident.
- D.18. Limitation of Contractor's Liability. In accordance with Tenn. Code Ann. § 12-3-701, the Contractor's liability for all claims arising under this Contract shall be limited to an amount equal to two (2) times the Maximum Liability amount detailed in Section C.1. and as may be amended, PROVIDED THAT in no event shall this Section limit the liability of the Contractor for: (i) intellectual property or any Contractor indemnity obligations for infringement for third-party intellectual property rights; (ii) any claims covered by any specific provision in the Contract providing for liquidated damages; or (iii) any claims for intentional torts, criminal acts, fraudulent conduct, or acts or omissions that result in personal injuries or death. For clarity, except as otherwise expressly set forth in this Section, Contractor's indemnification obligations and other remedies available under this Contract are subject to the limitations on liability set forth in this Section.
- D.19. Hold Harmless. The Contractor agrees to indemnify and hold harmless the State of Tennessee as well as its officers, agents, and employees from and against any and all claims, liabilities, losses, and causes of action which may arise, accrue, or result to any person, firm, corporation, or other entity which may be injured or damaged as a result of acts, omissions, or negligence on the part of the Contractor, its employees, or any person acting for or on its or their behalf relating to this Contract. The Contractor further agrees it shall be liable for the reasonable cost of attorneys' fees, court costs, expert witness fees, and other litigation expenses for the State to enforce the terms of this Contract.
- In the event of any suit or claim, the Parties shall give each other immediate notice and provide all necessary assistance to respond. The failure of the State to give notice shall only relieve the Contractor of its obligations under this Section to the extent that the Contractor can demonstrate actual prejudice arising from the failure to give notice. This Section shall not grant the Contractor, through its attorneys, the right to represent the State in any legal matter, as the right to represent the State is governed by Tenn. Code Ann. § 8-6-106.
- D.20. HIPAA Compliance. To the extent applicable, the Contractor shall comply with obligations under the Health Insurance Portability and Accountability Act of 1996 ("HIPAA"), Health Information Technology for Economic and Clinical Health ("HITECH") Act and any other relevant laws and regulations regarding privacy (collectively the "Privacy Rules"). The obligations set forth in this Section shall survive the termination of this Contract.
- a. Contractor warrants to the State that it is familiar with the requirements of the Privacy Rules and will comply with all applicable requirements in the course of this Contract.

- b. Contractor warrants that it will cooperate with the State, including cooperation and coordination with State privacy officials and other compliance officers required by the Privacy Rules, in the course of performance of the Contract so that both parties will be in compliance with the Privacy Rules.
  - c. The Contractor will sign documents, including but not limited to business associate agreements, as required by the Privacy Rules and that are reasonably necessary to keep the Contractor in compliance with the Privacy Rules. This provision shall not apply if information received or delivered by the parties under this Contract is NOT “protected health information” as defined by the Privacy Rules, or if the Privacy Rules permit the parties to receive or deliver the information without entering into a business associate agreement or signing another document.
  - d. The Contractor will indemnify the State and hold it harmless for any violation by the Contractor or its subcontractors of the Privacy Rules. This includes the costs of responding to a breach of protected health information, the costs of responding to a government enforcement action related to the breach, and any fines, penalties, or damages paid by the State because of the violation.
- D.21 Rule 2 Compliance. Contractor shall comply with the obligations under Rule 2 of the Confidentiality of Alcohol and Drug Abuse Patient Records, and its accompanying regulations as codified at 42 CFR §§ 2.1, et seq. (“Rule 2”).
- a. Contractor acknowledges that it is familiar with the requirements of Rule 2 and its accompanying regulations, and that it will comply with all requirements imposed by Rule 2 during the Term of this Agreement.
  - b. Contractor warrants that it will cooperate with the State, including cooperation and coordination with State privacy officials and other compliance officers required by Rule 2 during the Term of this Agreement.
- D.22. Tennessee Consolidated Retirement System. Subject to statutory exceptions contained in Tenn. Code Ann. §§ 8-36-801, et seq., the law governing the Tennessee Consolidated Retirement System (“TCRS”), provides that if a retired member of TCRS, or of any superseded system administered by TCRS, or of any local retirement fund established under Tenn. Code Ann. §§ 8-35-101, et seq., accepts State employment, the member's retirement allowance is suspended during the period of the employment. Accordingly and notwithstanding any provision of this Contract to the contrary, the Contractor agrees that if it is later determined that the true nature of the working relationship between the Contractor and the State under this Contract is that of “employee/employer” and not that of an independent contractor, the Contractor, if a retired member of TCRS, may be required to repay to TCRS the amount of retirement benefits the Contractor received from TCRS during the Term.
- D.23. Tennessee Department of Revenue Registration. The Contractor shall comply with all applicable registration requirements contained in Tenn. Code Ann. §§ 67-6-601 – 608. Compliance with applicable registration requirements is a material requirement of this Contract.
- D.24. Debarment and Suspension. The Contractor certifies, to the best of its knowledge and belief, that it, its current and future principals, its current and future subcontractors and their principals:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal or state department or agency;
  - b. have not within a three (3) year period preceding this Contract been convicted of, or had a civil judgment rendered against them from commission of fraud, or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or grant under a public transaction; violation of federal or state antitrust

statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property;

- c. are not presently indicted or otherwise criminally or civilly charged by a government entity (federal, state, or local) with commission of any of the offenses detailed in section b. of this certification; and
- d. have not within a three (3) year period preceding this Contract had one or more public transactions (federal, state, or local) terminated for cause or default.

The Contractor shall provide immediate written notice to the State if at any time it learns that there was an earlier failure to disclose information or that due to changed circumstances, its principals or the principals of its subcontractors are excluded, disqualified, or presently fall under any of the prohibitions of sections a-d.

- D.25. Force Majeure. "Force Majeure Event" means fire, flood, earthquake, elements of nature or acts of God, wars, riots, civil disorders, rebellions or revolutions, acts of terrorism or any other similar cause beyond the reasonable control of the Party except to the extent that the non-performing Party is at fault in failing to prevent or causing the default or delay, and provided that the default or delay cannot reasonably be circumvented by the non-performing Party through the use of alternate sources, workaround plans or other means. A strike, lockout or labor dispute shall not excuse either Party from its obligations under this Contract. Except as set forth in this Section, any failure or delay by a Party in the performance of its obligations under this Contract arising from a Force Majeure Event is not a default under this Contract or grounds for termination. The non-performing Party will be excused from performing those obligations directly affected by the Force Majeure Event, and only for as long as the Force Majeure Event continues, provided that the Party continues to use diligent, good faith efforts to resume performance without delay. The occurrence of a Force Majeure Event affecting Contractor's representatives, suppliers, subcontractors, customers or business apart from this Contract is not a Force Majeure Event under this Contract. Contractor will promptly notify the State of any delay caused by a Force Majeure Event (to be confirmed in a written notice to the State within one (1) day of the inception of the delay) that a Force Majeure Event has occurred, and will describe in reasonable detail the nature of the Force Majeure Event. If any Force Majeure Event results in a delay in Contractor's performance longer than forty-eight (48) hours, the State may, upon notice to Contractor: (a) cease payment of the fees for the affected obligations until Contractor resumes performance of the affected obligations; or (b) immediately terminate this Contract or any purchase order, in whole or in part, without further payment except for fees then due and payable. Contractor will not increase its charges under this Contract or charge the State any fees other than those provided for in this Contract as the result of a Force Majeure Event.
- D.26. State and Federal Compliance. The Contractor shall comply with all State and federal laws and regulations applicable to Contractor in the Contractor's performance of this Contract.
- D.27. Governing Law. This Contract shall be governed by and construed in accordance with the laws of the State of Tennessee, without regard to its conflict or choice of law rules. The Tennessee Claims Commission or the state or federal courts in Tennessee shall be the venue for all claims, disputes, or disagreements arising under this Contract. The Contractor acknowledges and agrees that any rights, claims, or remedies against the State of Tennessee or its employees arising under this Contract shall be subject to and limited to those rights and remedies available under Tenn. Code Ann. §§ 9-8-101 - 408.
- D.28. Entire Agreement. This Contract is complete and contains the entire understanding between the Parties relating to its subject matter, including all the terms and conditions of the Parties' agreement. This Contract supersedes any and all prior understandings, representations, negotiations, and agreements between the Parties, whether written or oral.
- D.29. Severability. If any terms and conditions of this Contract are held to be invalid or unenforceable as a matter of law, the other terms and conditions of this Contract shall not be affected and shall remain in full force and effect. The terms and conditions of this Contract are severable.



- D.30. Headings. Section headings of this Contract are for reference purposes only and shall not be construed as part of this Contract.
- D.31. Incorporation of Additional Documents. Each of the following documents is included as a part of this Contract by reference. In the event of a discrepancy or ambiguity regarding the Contractor's duties, responsibilities, and performance under this Contract, these items shall govern in order of precedence below:
- a. any amendment to this Contract, with the latter in time controlling over any earlier amendments;
  - b. this Contract with any attachments or exhibits (excluding the items listed at subsections c. through f., below), which includes Attachments 1-3;
  - c. any clarifications of or addenda to the Contractor's proposal seeking this Contract;
  - d. the State solicitation, as may be amended, requesting responses in competition for this Contract;
  - e. any technical specifications provided to proposers during the procurement process to award this Contract; and
  - f. the Contractor's response seeking this Contract.
- D.32. Iran Divestment Act. The requirements of Tenn. Code Ann. § 12-12-101, *et seq.*, addressing contracting with persons as defined at Tenn. Code Ann. §12-12-103(5) that engage in investment activities in Iran, shall be a material provision of this Contract. The Contractor certifies, under penalty of perjury, that to the best of its knowledge and belief that it is not on the list created pursuant to Tenn. Code Ann. § 12-12-106.
- D.33. Insurance. Contractor shall maintain insurance coverage as specified in this Section. The State reserves the right to amend or require additional insurance coverage, coverage amounts, and endorsements required under this Contract. Contractor's failure to maintain or submit evidence of insurance coverage, as required, is a material breach of this Contract. If Contractor loses insurance coverage, fails to renew coverage, or for any reason becomes uninsured during the Term, Contractor shall immediately notify the State. All insurance companies providing coverage must be: (a) acceptable to the State; (b) authorized by the Tennessee Department of Commerce and Insurance ("TDCI"); and (c) rated A- / VII or better by A.M. Best. All coverage must be on a primary basis and noncontributory with any other insurance or self-insurance carried by the State. Contractor agrees to name the State as an additional insured on any insurance policy with the exception of workers' compensation (employer liability) and professional liability (errors and omissions) insurance. All policies must contain an endorsement for a waiver of subrogation in favor of the State. Any deductible or self insured retention ("SIR") over fifty thousand dollars (\$50,000) must be approved by the State. The deductible or SIR and any premiums are the Contractor's sole responsibility. The Contractor agrees that the insurance requirements specified in this Section do not reduce any liability the Contractor has assumed under this Contract including any indemnification or hold harmless requirements.

To achieve the required coverage amounts, a combination of an otherwise deficient specific policy and an umbrella policy with an aggregate meeting or exceeding the required coverage amounts is acceptable. For example: If the required policy limit under this Contract is for two million dollars (\$2,000,000) in coverage, acceptable coverage would include a specific policy covering one million dollars (\$1,000,000) combined with an umbrella policy for an additional one million dollars (\$1,000,000). If the deficient underlying policy is for a coverage area without aggregate limits (generally Automobile Liability and Employers' Liability Accident), Contractor shall provide a copy of the umbrella insurance policy documents to ensure that no aggregate limit applies to the umbrella policy for that coverage area. In the event that an umbrella policy is being provided to achieve any required coverage amounts, the umbrella policy shall be accompanied by an endorsement at least as broad as the Insurance Services Office, Inc. (also known as "ISO") "Noncontributory—Other Insurance Condition" endorsement or shall be written on a policy form that addresses both the primary and noncontributory basis of the umbrella policy if the State is otherwise named as an additional insured.

Contractor shall provide the State a certificate of insurance ("COI") evidencing the coverages and amounts specified in this Section. The COI must be on a form approved by the TDCI (standard ACORD form preferred). The COI must list each insurer's National Association of Insurance Commissioners (NAIC) number and be signed by an authorized representative of the insurer. The COI must list the State of Tennessee – CPO Risk Manager, 312 Rosa L. Parks Ave., 3<sup>rd</sup> floor Central Procurement Office, Nashville, TN 37243 as the certificate holder. Contractor shall provide the COI ten (10) business days prior to the Effective Date and again thirty (30) calendar days before renewal or replacement of coverage. Contractor shall provide the State evidence that all subcontractors maintain the required insurance or that subcontractors are included under the Contractor's policy. At any time, the State may require Contractor to provide a valid COI. The Parties agree that failure to provide evidence of insurance coverage as required is a material breach of this Contract. If Contractor self-insures, then a COI will not be required to prove coverage. Instead Contractor shall provide a certificate of self-insurance or a letter, on Contractor's letterhead, detailing its coverage, policy amounts, and proof of funds to reasonably cover such expenses. The State reserves the right to require complete copies of all required insurance policies, including endorsements required by these specifications, at any time.

The State agrees that it shall give written notice to the Contractor as soon as practicable after the State becomes aware of any claim asserted or made against the State, but in no event later than thirty (30) calendar days after the State becomes aware of such claim. The failure of the State to give notice shall only relieve the Contractor of its obligations under this Section to the extent that the Contractor can demonstrate actual prejudice arising from the failure to give notice. This Section shall not grant the Contractor or its insurer, through its attorneys, the right to represent the State in any legal matter, as the right to represent the State is governed by Tenn. Code Ann. § 8-6-106.

**The insurance obligations under this Contract shall be: (1)—all the insurance coverage and policy limits carried by the Contractor; or (2)—the minimum insurance coverage requirements and policy limits shown in this Contract; whichever is greater. Any insurance proceeds in excess of or broader than the minimum required coverage and minimum required policy limits, which are applicable to a given loss, shall be available to the State. No representation is made that the minimum insurance requirements of the Contract are sufficient to cover the obligations of the Contractor arising under this Contract. The Contractor shall obtain and maintain, at a minimum, the following insurance coverages and policy limits.**

a. Commercial General Liability ("CGL") Insurance

- 1) The Contractor shall maintain CGL, which shall be written on an ISO Form CG 00 01 occurrence form (or a substitute form providing equivalent coverage) and shall cover liability arising from property damage, premises and operations products and completed operations, bodily injury, personal and advertising injury, and liability assumed under an insured contract (including the tort liability of another assumed in a business contract).  
The Contractor shall maintain single limits not less than one million dollars (\$1,000,000) per occurrence. If a general aggregate limit applies, either the general aggregate limit shall apply separately to this policy or location of occurrence or the general aggregate limit shall be twice the required occurrence limit.

b. Workers' Compensation and Employer Liability Insurance

- 1) For Contractors statutorily required to carry workers' compensation and employer liability insurance, the Contractor shall maintain:

- i. Workers' compensation in an amount not less than one million dollars (\$1,000,000) including employer liability of one million dollars (\$1,000,000) per accident for bodily injury by accident, one million dollars (\$1,000,000) policy limit by disease, and one million dollars (\$1,000,000) per employee for bodily injury by disease.
  - 2) If the Contractor certifies that it is exempt from the requirements of Tenn. Code Ann. §§ 50-6-101 – 103, then the Contractor shall furnish written proof of such exemption for one or more of the following reasons:
    - i. The Contractor employs fewer than five (5) employees;
    - ii. The Contractor is a sole proprietor;
    - iii. The Contractor is in the construction business or trades with no employees;
    - iv. The Contractor is in the coal mining industry with no employees;
    - v. The Contractor is a state or local government; or
    - vi. The Contractor self-insures its workers' compensation and is in compliance with the TDCI rules and Tenn. Code Ann. § 50-6-405.
- c. Automobile Liability Insurance
  - 1) The Contractor shall maintain automobile liability insurance which shall cover liability arising out of any automobile (including owned, leased, hired, and non-owned automobiles).
  - 2) The Contractor shall maintain bodily injury/property damage with a limit not less than one million dollars (\$1,000,000) per occurrence or combined single limit.
- d. Technology Professional Liability (Errors & Omissions)/Cyber Liability Insurance
  - 1) The Contractor shall maintain technology professional liability (errors & omissions)/cyber liability insurance appropriate to the Contractor's profession in an amount not less than ten million dollars (\$10,000,000) per occurrence or claim and ten million dollars (\$10,000,000) annual aggregate, covering all acts, claims, errors, omissions, negligence, infringement of intellectual property (including copyright, patent and trade secret); network security and privacy risks, including but not limited to unauthorized access, failure of security, information theft, damage to destruction of or alteration of electronic information, breach of privacy perils, wrongful disclosure and release of private information, collection, or other negligence in the handling of confidential information, and including coverage for related regulatory fines, defenses, and penalties.
  - 2) Such coverage shall include data breach response expenses, in an amount not less than ten million dollars (\$10,000,000) and payable whether incurred by the State or Contractor, including but not limited to consumer notification, whether or not required by law, computer forensic investigations, public relations and crisis management firm fees, credit file or identity monitoring or remediation services and expenses in the performance of services for the State or on behalf of the State hereunder.
- e. Crime Insurance
  - 1) The Contractor shall maintain crime insurance, which shall be written on a "loss sustained form" or "loss discovered form" providing coverage for third party

fidelity, including cyber theft and extortion. The policy must allow for reporting of circumstances or incidents that may give rise to future claims, include an extended reporting period of no less than two (2) years with respect to events which occurred but were not reported during the term of the policy, and not contain a condition requiring an arrest or conviction.

- 2) Any crime insurance policy shall have a limit not less than one million dollars (\$1,000,000) per claim and one million dollars (\$1,000,000) in the aggregate. Any crime insurance policy shall contain a Social Engineering Fraud Endorsement with a limit of not less than two hundred and fifty thousand dollars (\$250,000). This insurance may be written on a claims-made basis, but in the event that coverage is cancelled or non-renewed, the Contractor shall purchase an extended reporting or "tail coverage" of at least two (2) years after the Term.

- D.34. Major Procurement Contract Sales and Use Tax. Pursuant to Tenn. Code Ann. § 4-39-102 and to the extent applicable, the Contractor and the Contractor's subcontractors shall remit sales and use taxes on the sales of goods or services that are made by the Contractor or the Contractor's subcontractors and that are subject to tax.
- D.35. Confidentiality of Records. Strict standards of confidentiality of records and information shall be maintained in accordance with applicable state and federal law. All material and information, regardless of form, medium or method of communication, provided to the Contractor by the State or acquired by the Contractor on behalf of the State that is regarded as confidential under state or federal law shall be regarded as "Confidential Information." Nothing in this Section shall permit Contractor to disclose any Confidential Information, regardless of whether it has been disclosed or made available to the Contractor due to intentional or negligent actions or inactions of agents of the State or third parties. Confidential Information shall not be disclosed except as required or permitted under state or federal law. Contractor shall take all necessary steps to safeguard the confidentiality of such material or information in conformance with applicable state and federal law.

The obligations set forth in this Section shall survive the termination of this Contract.

- D.36. Boycott of Israel. The Contractor certifies that it is not currently engaged in, and covenants that it will not, for the duration of the Contract, engage in a Boycott of Israel, as that term is defined in Tenn. Code Ann. § 12-4-119.
- D.37. Prohibited Contract Terms. The prohibited contract terms and conditions enumerated in Pub. Ch. 113, § 5, shall be a material provision of this Contract. The Contractor acknowledges, understands, and agrees that the inclusion of a term or condition prohibited by Pub. Ch. 113, § 5, shall be null and void and the Contract shall be enforceable as if the Contract did not contain such term or condition.

## **E. SPECIAL TERMS AND CONDITIONS:**

- E.1. Conflicting Terms and Conditions. Should any of these special terms and conditions conflict with any other terms and conditions of this Contract, the special terms and conditions shall be subordinate to the Contract's other terms and conditions.
- E.2. Construction. During the pendency of this Contract, if any terms and/or provisions concerning the same subject matter, as set forth in the Business Requirements of this Contract (Section A.3) and the Tennessee Prescription Drug Monitoring Program (PDMP) System Requirements Matrix (Attachment 1), appear unclear to the extent that the terms and/or provisions create an ambiguity, either Party to this Contract may give notice to the other party and request a resolution as to the controlling term(s) and/or provisions, which shall be agreed upon in writing between the Parties. An agreement by email may satisfy the writing requirement.
- E.3. Contractor Commitment to Diversity. The Contractor shall comply with and make reasonable business efforts to exceed the commitment to diversity represented by the Contractor's Response

to RFP 34310-21124 (Attachment 2) and resulting in this Contract.

The Contractor shall assist the State in monitoring the Contractor's performance of this commitment by providing, as requested, a monthly report of participation in the performance of this Contract by small business enterprises and businesses owned by minorities, women, service-disabled veterans, and persons with disabilities. Such reports shall be provided to the State of Tennessee Governor's Office of Diversity Business Enterprise in the TN Diversity Software available online at:

<https://tn.diversitysoftware.com/FrontEnd/StartCertification.asp?TN=tn&XID=9810>.

- E.4. Additional lines, items, or options. At its sole discretion, the State may make written requests to the Contractor to add lines, items, or options that are needed and within the Scope but were not included in the original Contract. Such lines, items, or options will be added to the Contract through a Memorandum of Understanding ("MOU"), not an amendment.
- a. After the Contractor receives a written request to add lines, items, or options, the Contractor shall have ten (10) business days to respond with a written proposal. The Contractor's written proposal shall include:
    - (1) The effect, if any, of adding the lines, items, or options on the other goods or services required under the Contract;
    - (2) Any pricing related to the new lines, items, or options;
    - (3) The expected effective date for the availability of the new lines, items, or options; and
    - (4) Any additional information requested by the State.
  - b. The State may negotiate the terms of the Contractor's proposal by requesting revisions to the proposal.
  - c. To indicate acceptance of a proposal, the State will sign it. The signed proposal shall constitute a MOU between the Parties, and the lines, items, or options shall be incorporated into the Contract as if set forth verbatim.
  - d. Only after a MOU has been executed shall the Contractor perform or deliver the new lines, items, or options.
- E.5. Intellectual Property Indemnity. The Contractor agrees to indemnify and hold harmless the State of Tennessee as well as its officers, agents, and employees from and against any and all claims or suits which may be brought against the State concerning or arising out of any claim of an alleged patent, copyright, trade secret or other intellectual property infringement. In any such claim or action brought against the State, the Contractor shall satisfy and indemnify the State for the amount of any settlement or final judgment, and the Contractor shall be responsible for all legal or other fees or expenses incurred by the State arising from any such claim. The State shall give the Contractor notice of any such claim or suit, however, the failure of the State to give such notice shall only relieve Contractor of its obligations under this Section to the extent Contractor can demonstrate actual prejudice arising from the State's failure to give notice. This Section shall not grant the Contractor, through its attorneys, the right to represent the State of Tennessee in any legal matter, as provided in Tenn. Code Ann. § 8-6-106.
- E.6. Software License Warranty. Contractor grants a license to the State to use all software provided under this Contract in the course of the State's business and purposes.
- E.7. Software Support and Maintenance Warranty. Contractor shall provide to the State all software upgrades, modifications, bug fixes, or other improvements in its software that it makes generally available to its customers.
- E.8. Extraneous Terms and Conditions. Contractor shall fill all orders submitted by the State under this Contract. No purchase order, invoice, or other documents associated with any sales, orders, or supply of any good or service under this Contract shall contain any terms or conditions other than as set forth in the Contract. Any such extraneous terms and conditions shall be void, invalid and unenforceable against the State. Any refusal by Contractor to supply any goods or services

under this Contract conditioned upon the State submitting to any extraneous terms and conditions shall be a material breach of the Contract and constitute an act of bad faith by Contractor.

**E.9. Information Technology Security Requirements (State Data, Audit, and Other Requirements).**

a. The Contractor shall protect State Data as follows:

- (1) The Contractor shall ensure that all State Data is housed in the continental United States, inclusive of backup data. All State data must remain in the United States, regardless of whether the data is processed, stored, in-transit, or at rest. Access to State data shall be limited to US-based (onshore) resources only.

All system and application administration must be performed in the continental United States. Configuration or development of software and code is permitted outside of the United States. However, software applications designed, developed, manufactured, or supplied by persons owned or controlled by, or subject to the jurisdiction or direction of, a foreign adversary, which the U.S. Secretary of Commerce acting pursuant to 15 CFR 7 has defined to include the People's Republic of China, among others are prohibited. Any testing of code outside of the United States must use fake data. A copy of production data may not be transmitted or used outside the United States.

- (2) The Contractor shall encrypt Confidential State Data at rest and in transit using the current version of Federal Information Processing Standard ("FIPS") 140-2 **or** 140-3 (or current applicable version) validated encryption technologies. The State shall control all access to encryption keys. The Contractor shall provide installation and maintenance support at no cost to the State.
- (3) The Contractor and any Subcontractor used by the Contractor to host State data, including data center vendors, shall be subject to an annual engagement by a licensed CPA firm in accordance with the standards of the American Institute of Certified Public Accountants ("AICPA") for a System and Organization Controls for service organizations ("SOC") 2 Type 2 examination. The scope of the SOC 2 Type 2 examination engagement must include the Security, Availability, Confidentiality, and Processing Integrity Trust Services Criteria. In addition, the Contractor services that are part of this Contract, including any processing or storage services, must be included in the scope of the SOC 2 Type 2 examination engagement(s).
- (4) The Contractor must annually review its SOC 2 Type 2 examination reports. Within 30 days of receipt of the examination report, or upon request from the State or the Comptroller of the Treasury, the Contractor must provide the State or the Comptroller of the Treasury a non-redacted copy of the Contractor's SOC 2 Type 2 examination report(s). The Contractor must review the annual SOC 2 Type 2 examination reports for each of its Subcontractors and must also assist the State or Comptroller of the Treasury with obtaining a non-redacted copy of any SOC examination reports for each of its Subcontractors, including data centers used by the Contractor to host or process State data.

If the Contractor's SOC 2 Type 2 examination report includes a modified opinion, meaning that the opinion is qualified, adverse, or disclaimed, the Contractor must share the SOC report and the Contractor's plan to address the modified opinion with the State or the Comptroller of the Treasury within 30 days of the Contractor's receipt of the SOC report or upon request from the State or the Comptroller of the Treasury. If any Subcontractor(s) SOC 2 Type 2 examination report includes a modified opinion, the Contractor must assist the State or Comptroller of the Treasury with obtaining the Subcontractor(s) SOC report and the Subcontractor(s) plan to address the modified opinion.

The Contractor must have a process for correcting control deficiencies that were identified in the SOC 2 Type 2 examination, including follow-up documentation providing evidence of such corrections. Within 30 days of receipt of the examination report, or upon request from the State or

the Comptroller of the Treasury, the Contractor must provide the State or the Comptroller of the Treasury with a corrective action plan and evidence of correcting the control deficiencies. The Contractor must require each of its Subcontractors, including data centers used by the Contractor to host State data, to have a process for correcting control deficiencies identified in their SOC examination reports and must assist the State or Comptroller of the Treasury with obtaining a corrective action plan and obtaining evidence of correcting control deficiencies identified in Subcontractor(s) SOC reports.

No additional funding shall be allocated for these examinations as they are included in the Maximum Liability of this Contract.

- (5) The Contractor must annually perform Penetration Tests and Vulnerability Assessments against its Processing Environment per the NIST 800-115 definition. "Processing Environment" shall mean the combination of software and hardware on which the Application runs. "Application" shall mean the computer code that supports and accomplishes the State's requirements as set forth in this Contract. "Penetration Tests" shall be in the form of attacks on the Contractor's computer system, with the purpose of discovering security weaknesses which have the potential to gain access to the Processing Environment's features and data. The "Vulnerability Assessment" shall be designed and executed to define, identify, and classify the security holes (vulnerabilities) in the Processing Environment. The Contractor shall allow the State, at its option, to perform Penetration Tests and Vulnerability Assessments on the Processing Environment. The Contractor shall provide a letter of attestation on its processing environment that penetration tests and vulnerability assessments has been performed on an annual basis and taken corrective action to evaluate and address any findings.

In the event of an unauthorized disclosure or unauthorized access to State data, the State Strategic Technology Solutions (STS) Security Incident Response Team (SIRT) must be notified and engaged by calling the State Customer Care Center (CCC) at 615-741-1001. Any such event must be reported by the Contractor within twenty-four (24) hours after the unauthorized disclosure has come to the attention of the Contractor.

- (6) If a breach has been confirmed a fully un-modified third-party forensics report must be supplied to the State and through the STS SIRT. This report must include indicators of compromise (IOCs) as well as plan of actions for remediation and restoration. Contractor shall take all necessary measures to halt any further Unauthorized Disclosures.
- (7) Upon State request, the Contractor shall provide a copy of all Confidential State Data it holds. The Contractor shall provide such data on media and in a format determined by the State
- (8) Upon termination of this Contract and in consultation with the State, the Contractor shall destroy, and ensure all subcontractors shall destroy, all Confidential State Data it holds (including any copies such as backups) in accordance with the current version of National Institute of Standards and Technology ("NIST") Special Publication 800-88. The Contractor shall provide a written confirmation of destruction to the State within ten (10) business days after destruction.

#### b. Minimum Requirements

- (1) The Contractor and all data centers used by the Contractor to host State data, including those of all Subcontractors, must comply with the State's Enterprise Information Security Policies as amended periodically. The State's Enterprise Information Security Policies document is found at the following URL: <https://www.tn.gov/finance/strategic-technology-solutions/strategic-technology-solutions/sts-security-policies.html>.
- (2) The Contractor agrees to maintain the Application so that it will run on a current, manufacturer-supported Operating System. "Operating System" shall mean the software that supports a computer's basic functions, such as scheduling tasks, executing applications, and controlling peripherals.

- (3) If the Application requires middleware or database software, Contractor shall maintain middleware and database software versions that are always fully compatible with current versions of the Operating System and Application to ensure that security vulnerabilities are not introduced.
- (4) In the event of drive/media failure, if the drive/media is replaced, it remains with the State and it is the State's responsibility to destroy the drive/media, or the Contractor shall provide written confirmation of the sanitization/destruction of data according to NIST 800-88.

c. Business Continuity Requirements. The Contractor shall maintain set(s) of documents, instructions, and procedures which enable the Contractor to respond to accidents, disasters, emergencies, or threats without any stoppage or hindrance in its key operations ("Business Continuity Requirements"). Business Continuity Requirements shall include:

- (1) "Disaster Recovery Capabilities" refer to the actions the Contractor takes to meet the Recovery Point and Recovery Time Objectives defined below. Disaster Recovery Capabilities shall meet the following objectives:
  - i. Recovery Point Objective ("RPO"). The RPO is defined as the maximum targeted period in which data might be lost from an IT service due to a major incident  
1 hour
  - ii. Recovery Time Objective ("RTO"). The RTO is defined as the targeted duration of time and a service level within which a business process must be restored after a disaster (or disruption) in order to avoid unacceptable consequences associated with a break in business continuity:  
24 hours

The Contractor and the Subcontractor(s) shall maintain a documented Disaster Recovery plan and shall share this document with the State when requested. The Contractor and the Subcontractor(s) shall perform at least one Disaster Recovery Test every three hundred sixty-five (365) days. A "Disaster Recovery Test" shall mean the process of verifying the success of the restoration procedures that are executed after a critical IT failure or disruption occurs. The Disaster Recovery Test shall use actual State Data Sets that mirror production data, and success shall be defined as the Contractor verifying that the Contractor can meet the State's RPO and RTO requirements. A "Data Set" is defined as a collection of related sets of information that is composed of separate elements but can be manipulated as a unit by a computer. The Contractor shall provide written confirmation to the State after each Disaster Recovery Test that its Disaster Recovery Capabilities meet the RPO and RTO requirements.

#### E.10. Comptroller Audit Requirements.

When requested by the State or the Comptroller of the Treasury, the Contractor must provide the State or the Comptroller of the Treasury with a detailed written description of the Contractor's information technology control environment, including a description of general controls and application controls. The Contractor must also assist the State or the Comptroller of the Treasury with obtaining a detailed written description of the information technology control environment for any third or fourth parties, or Subcontractors, used by the Contractor to process State data and/or provide services under this Contract.

Contractor will maintain and cause its Subcontractors to maintain a complete audit trail of all transactions and activities in connection with this Contract, including all information technology logging and scanning conducted within the Contractor's and Subcontractor's information technology control environment. Upon reasonable notice and at any reasonable time, the Contractor grants the State or the Comptroller of the Treasury with the right to



audit the Contractor's information technology control environment, including general controls and application controls. The audit may include testing the general and application controls within the Contractor's information technology control environment and may also include testing general and application controls for any third or fourth parties, or Subcontractors, used by the Contractor to process State data and/or provide services under this Contract. The audit may include the Contractor's and Subcontractor's compliance with the State's Enterprise Information Security Policy and all applicable requirements, laws, regulations, or policies.

Upon reasonable notice and at any reasonable time, the Contractor and Subcontractor(s) agree to allow the State, the Comptroller of the Treasury, or their duly appointed representatives to perform information technology control audits of the Contractor and all Subcontractors used by the Contractor. Contractor will provide to the State, the Comptroller of the Treasury, or their duly appointed representatives access to Contractor and Subcontractor(s) personnel for the purpose of performing the information technology control audit. The audit may include interviews with technical and management personnel, physical or virtual inspection of controls, and review of paper or electronic documentation.

The Contractor must have a process for correcting control deficiencies that were identified in the State's or Comptroller of the Treasury's information technology audit. For any audit issues identified, the Contractor and Subcontractor(s) shall submit a corrective action plan to the State or the Comptroller of the Treasury which addresses the actions taken, or to be taken, and the anticipated completion date in response to each of the audit issues and related recommendations of the State or the Comptroller of the Treasury. The corrective action plan shall be provided to the State or the Comptroller of the Treasury upon request from the State or Comptroller of the Treasury and within 30 days from the issuance of the audit report or communication of the audit issues and recommendations. Upon request from the State or Comptroller of the Treasury, the Contractor and Subcontractor(s) shall provide documentation and evidence that the audit issues were corrected.

Each party shall bear its own expenses incurred while conducting the information technology controls audit.

- E.11 State Furnished Property. The Contractor shall be responsible for the correct use, maintenance, and protection of all articles of nonexpendable, tangible personal property furnished by the State for the Contractor's use under this Contract. Upon termination of this Contract, all property furnished by the State shall be returned to the State in the same condition as when received, less ordinary wear and tear. Should the property be destroyed, lost, or stolen, the Contractor shall be responsible to the State for the fair market value of the property at the time of loss.
- E.12. Personally Identifiable Information. While performing its obligations under this Contract, Contractor may have access to Personally Identifiable Information held by the State ("PII"). For the purposes of this Contract, "PII" includes "Nonpublic Personal Information" as that term is defined in Title V of the Gramm-Leach-Bliley Act of 1999 or any successor federal statute, and the rules and regulations thereunder, all as may be amended or supplemented from time to time ("GLBA") and personally identifiable information and other data protected under any other applicable laws, rule or regulation of any jurisdiction relating to disclosure or use of personal information ("Privacy Laws"). Contractor agrees it shall not do or omit to do anything which would cause the State to be in breach of any Privacy Laws. Contractor shall, and shall cause its employees, agents and representatives to: (i) keep PII confidential and may use and disclose PII only as necessary to carry out those specific aspects of the purpose for which the PII was disclosed to Contractor and in accordance with this Contract, GLBA and Privacy Laws; and (ii) implement and maintain appropriate technical and organizational measures regarding information security to: (A) ensure the security and confidentiality of PII; (B) protect against any threats or hazards to the security or integrity of PII; and (C) prevent unauthorized access to or use of PII. Contractor shall immediately notify State: (1) of any disclosure or use of any PII by Contractor or any of its employees, agents and representatives in breach of this Contract; and (2) of any disclosure of any PII to Contractor or its employees, agents and representatives where the

purpose of such disclosure is not known to Contractor or its employees, agents and representatives. The State reserves the right to review Contractor's policies and procedures used to maintain the security and confidentiality of PII and Contractor shall, and cause its employees, agents and representatives to, comply with all reasonable requests or directions from the State to enable the State to verify or ensure that Contractor is in full compliance with its obligations under this Contract in relation to PII. Upon termination or expiration of the Contract or at the State's direction at any time in its sole discretion, whichever is earlier, Contractor shall immediately return to the State any and all PII which it has received under this Contract and shall destroy all records of such PII.

The Contractor shall report to the State any instances of unauthorized access to or potential disclosure of PII in the custody or control of Contractor ("Unauthorized Disclosure") that come to the Contractor's attention. Any such report shall be made by the Contractor within twenty-four (24) hours after the Unauthorized Disclosure has come to the attention of the Contractor. Contractor shall take all necessary measures to halt any further Unauthorized Disclosures. The Contractor, at the sole discretion of the State, shall provide no cost credit monitoring services for individuals whose PII was affected by the Unauthorized Disclosure. The Contractor shall bear the cost of notification to all individuals affected by the Unauthorized Disclosure, including individual letters and public notice. The remedies set forth in this Section are not exclusive and are in addition to any claims or remedies available to this State under this Contract or otherwise available at law. The obligations set forth in this Section shall survive the termination of this Contract.

- E.13. Survival. The terms, provisions, representations, and warranties contained in this Contract which by their sense and context are intended to survive the performance and termination of this Contract, shall so survive the completion of performance and termination of this Contract.

**IN WITNESS WHEREOF,**

**CONTRACTOR LEGAL ENTITY NAME:**

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**CONTRACTOR SIGNATURE**

**DATE**

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**PRINTED NAME AND TITLE OF CONTRACTOR SIGNATORY (above)**

**DEPARTMENT OF HEALTH:**

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**RALPH ALVARADO, MD, FACP, COMMISSIONER**

**DATE**

**ATTACHMENT 2****ATTESTATION RE PERSONNEL USED IN CONTRACT PERFORMANCE**

<b>SUBJECT CONTRACT NUMBER:</b>	
<b>CONTRACTOR LEGAL ENTITY NAME:</b>	
<b>EDISON VENDOR IDENTIFICATION NUMBER:</b>	

**The Contractor, identified above, does hereby attest, certify, warrant, and assure that the Contractor shall not knowingly utilize the services of an illegal immigrant in the performance of this Contract and shall not knowingly utilize the services of any subcontractor who will utilize the services of an illegal immigrant in the performance of this Contract.**

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**CONTRACTOR SIGNATURE**

NOTICE: This attestation MUST be signed by an individual empowered to contractually bind the Contractor. Attach evidence documenting the individual's authority to contractually bind the Contractor, unless the signatory is the Contractor's chief executive or president.

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**PRINTED NAME AND TITLE OF SIGNATORY**

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**DATE OF ATTESTATION**