

REQUEST FOR PROPOSAL

by

**The University of Texas System,
acting through The University of Texas System Supply Chain Alliance,**

for

selection of a

PREFERRED SUPPLIER

of a

COMPUTER-ASSISTED CODING AND CLINICAL DOCUMENTATION IMPROVEMENT SOFTWARE SOLUTION

RFP No. UTS/A58

**Submittal Deadline: April 10, 2017
@ 3:00 PM, Houston Time**

Issued: March 3, 2017

TABLE OF CONTENTS

		<u>Page</u>
SECTION 1	INTRODUCTION.....	2
SECTION 2	NOTICE TO PROPOSER.....	6
SECTION 3	SUBMISSION OF PROPOSAL.....	10
SECTION 4	GENERAL TERMS AND CONDITIONS.....	11
SECTION 5	SPECIFICATIONS, ADDITIONAL QUESTIONS AND SCOPE OF WORK.....	12
SECTION 6	PRICE SCHEDULE AND AFFIRMATION.....	18
 <u>Attachments:</u>		
APPENDIX ONE	PROPOSAL REQUIREMENTS.....	20
APPENDIX TWO	UT SYSTEM POLICY ON UTILIZATION OF HISTORICALLY UNDERUTILIZED BUSINESSES.....	29
APPENDIX THREE	SAMPLE PREFERRED SUPPLIER AGREEMENT.....	30
APPENDIX THREE–300	SAMPLE INSTITUTIONAL PARTICIPATION AGREEMENT.....	52
APPENDIX THREE–400	SUPPLIER RELATIONSHIP MANAGEMENT (“SRM”) PROGRAM REQUIREMENTS.....	55
APPENDIX FOUR	ACCESS BY INDIVIDUALS WITH DISABILITIES.....	58
APPENDIX FIVE	ELECTRONIC AND INFORMATION RESOURCES ENVIRONMENT SPECIFICATIONS.....	59
APPENDIX SIX	SECURITY CHARACTERISTICS AND FUNCTIONALITY OF PROPOSER’S INFORMATION RESOURCES.....	62
APPENDIX SEVEN	CERTIFICATE OF INTERESTED PARTIES (FORM 1295).....	67

SECTION 1

INTRODUCTION

1.1 Description of The University of Texas System

The University of Texas System is comprised of System Administration and 14 institutions of higher education with campuses across the State of Texas whose missions are devoted to world class healthcare, teaching, research, and public service (collectively, “**UT System**”). UT System is one of the larger education systems in the United States. With an operating budget of \$17.9 billion, UT System has a current student enrollment exceeding 221,000. UT System employs about 100,000 faculty and staff, making UT System one of the largest employers in the State of Texas.

UT System is comprised of the following institutions:

- The University of Texas Southwestern Medical Center (UTSW)
- The University of Texas Medical Branch at Galveston (UTMB)
- The University of Texas Health Science Center at Houston (UTHSCH)
- The University of Texas Health Science Center at San Antonio (UTHSCSA)
- The University of Texas MD Anderson Cancer Center (UTMDACC)
- The University of Texas Health Science Center at Tyler (UTHSCT)
- The University of Texas at Arlington (UTA)
- The University of Texas at Austin (UT Austin)
- The University of Texas at Dallas (UTD)
- The University of Texas at El Paso (UTEP)
- The University of Texas of the Permian Basin (UTPB)
- The University of Texas at San Antonio (UTSA)
- The University of Texas at Tyler (UTT)
- The University of Texas Rio Grande Valley (UTRGV)

UT System has established The UT System Supply Chain Alliance (the “**Alliance**”) to conduct and coordinate strategic purchasing initiatives across UT System. The Alliance essentially operates as UT System’s own, in-house group purchasing organization. The Alliance is also affiliated with various Texas institutions of higher education. Through collaborative relationships, the Alliance seeks to combine supply chain and contracting activities and obtain best value goods and services while reducing total acquisition costs. The Alliance has created a team of supply chain professionals (the “**Strategic Services Group**”) that has been tasked with executing Alliance purchasing initiatives. The Strategic Services Group assembles a team of subject matter experts (“**SMEs**”) from participating institutions to assist in developing each sourcing event and evaluating suppliers during the procurement process. SMEs are involved from the sourcing event’s inception and work with the Alliance and UT System to select the best value supplier(s). Any agreement resulting from this Request for Proposal (this “**RFP**”) will be extended and marketed to all UT System institutions. Various non-UT System institutions that are affiliated with the Alliance may participate, too, in any agreement resulting from this RFP.

By participating in this RFP, proposer(s) (collectively, “**Proposer**”) agrees to extend all goods, services and pricing to any Alliance member or affiliate (collectively, “**Institutional Participant**”) that wishes to participate in any contract entered into with Proposer.

1.2 Objective of this Request for Proposal

UT System, acting through the Alliance, is soliciting proposals in response to this RFP for selection of a Preferred Supplier to provide a computer-assisted coding (“**CAC**”) and clinical documentation improvement (“**CDI**”) software solution, including related services, as more specifically described in **Section 5.4 (“Scope of Work”)** of this RFP (collectively, the “**CAC and CDI Solution**”). The successful Proposer(s) to whom business may be awarded is referred to in this RFP as the “**Preferred Supplier**.”

The goal of this RFP is to identify a CAC and CDI Solution that can further increase efficiency, accuracy, and where possible automation, throughout the revenue cycle process. UT System will work through the Alliance to team with a Preferred Supplier to develop a relationship that will produce a win-win for all parties and establish practical business processes and procedures to foster a strong working relationship.

Proposer is invited to submit a proposal to establish a strategic business alliance with UT System that will maximize the resources of both organizations to most effectively meet the requirements specified in this RFP document. Specifically, this RFP process should:

- provide a comprehensive and guaranteed pricing structure for the CAC and CDI Solution;
- leverage the aggregate purchasing volumes of Institutional Participants;
- achieve cost savings for Institutional Participants;
- improve overall customer satisfaction; and
- enhance relationships between Preferred Supplier and Institutional Participants.

UT System intends to identify a Preferred Supplier that will provide strong implementation support and training, communicate and share best practices throughout the agreement resulting from this RFP, and be dedicated to ongoing product improvement.

Preferred Supplier will be enrolled in the Alliance’s Supplier Relationship Management Program (“**SRM**”) to monitor Preferred Supplier’s performance and pricing. UT System expects Preferred Supplier to work closely with the Alliance and each Institutional Participant and produce benefits for all parties involved in the relationship.

Proposer should realize that what is written in their final proposal submitted to UT System may become part of the successful Proposer’s final contract.

UT System may ask Proposer(s) to provide a formal presentation, prior to contract award, with additional information to SMEs or the Strategic Services Group. This presentation will allow the Alliance to clarify any technical, quality, or price-based questions that may arise from Proposer’s response.

Proposer should provide solutions involving HUB suppliers, where possible (ref. **Section 2.5** of this RFP).

UT System ideally would like to contract with a single Proposer that could provide all the required software tools and services. However, proposals for only a portion of the required tools and services will be considered, provided each portion is compatible with software tools and

services provided by other successful Proposers. **1.3 Background and Scope of Opportunity**

It is anticipated that the initial term of the agreement resulting from this RFP will be seven (7) years, consisting of an initial term of five years, with UT System having the option to extend the term for an additional two-year period upon written notice given to Preferred Supplier.

At present, five of the six UT System health institutions use a CAC Solution licensed through a UT System agreement awarded to CodeRyte, Inc. in August 2011 (3M acquired the business operations of CodeRyte, Inc. in April 2012). UT System expects that these existing licensing arrangements will be wound down during a transition period ending in August 2018.

The existing arrangements were structured in a way designed to enable use of certain UT System funds that could be expended only to acquire capital items. This precluded adoption of a traditional software-as-a-service (SaaS) model for delivery of the CAC Solution, since payments under such a model would have been characterized as operating expenses, rather than capital expenditures. The CAC and CDI Solution that is the subject of this RFP will not be subject to any such limitation. UT System is interested in identifying the most practical and cost-effective business model to serve the needs of Institutional Participants. Any submitted proposal must include detailed information on all available deployment models that are being offered, including Preferred Supplier-hosted solutions (SaaS, etc.) or UT System institution-hosted solutions (hosted on premises, in customer's data center, etc.).

For your bid consideration, operational details intended to convey the relative size of the five UT System health institutions that are participating in this RFP process, and the possible volumes of transactions that the CAC and CDI solutions would need to handle, will be provided via Addendum after this RFP document has been published.

Since the Alliance intends to promote the use of Preferred Supplier to Alliance affiliates, which include other institutions of higher education within Texas, annual volumes could be higher than the above estimates.

No contract resulting from this RFP will guarantee a specific volume of product or services to a Preferred Supplier.

THE ABOVE FIGURES ARE ESTIMATES ONLY. VOLUMES PURCHASED ON THE BASIS OF ANY AGREEMENT RESULTING FROM THIS RFP MAY INVOLVE MORE OR LESS THAN THE ESTIMATES PROVIDED. UT SYSTEM DOES NOT REPRESENT, WARRANT OR GUARANTY THAT PARTICIPANTS WILL PURCHASE ANY PARTICULAR DOLLAR VALUE OR ANY PARTICULAR QUANTITY, AND UT SYSTEM SPECIFICALLY DISCLAIMS ANY SUCH REPRESENTATIONS, WARRANTIES AND GUARANTIES.

SECTION 2

NOTICE TO PROPOSER

2.1 Submittal Deadline

UT System will accept proposals submitted in response to this RFP until **3:00 PM**, Houston Time, on **April 10, 2017** (the “**Submittal Deadline**”).

2.2 UT System Contact Person

Proposers will direct all questions or concerns regarding this RFP to the following UT System contact person (the “**UT System Contact**”):

Tina Kuo
Sourcing Specialist
UT System Supply Chain Alliance
TKuo2@mdanderson.org

UT System specifically instructs all interested parties to restrict all contact and questions regarding this RFP to written communications forwarded to the UT System Contact. The UT System Contact must receive all questions or concerns no later than **5:00 PM**, Houston Time, on **March 29, 2017**. UT System will use a reasonable amount of time to respond to questions or concerns. It is UT System’s intent to respond to all appropriate questions and concerns; however, UT System reserves the right to decline to respond to any question or concern.

2.3 Criteria for Selection

Successful Proposer, if any, selected by UT System in accordance with the requirements and specifications set forth in this RFP, will be the Proposer that submits a proposal in response to this RFP, on or before the Submittal Deadline, that is most advantageous to UT System.

Proposer is encouraged to propose terms and conditions offering the maximum benefit to UT System in terms of (1) products and services to be provided and (2) total overall cost to participating institutions. Proposers should describe all educational, state and local government discounts, as well as any other applicable discounts that may be available.

An evaluation team from UT System will evaluate proposals. The evaluation of proposals and the selection of Preferred Supplier will be based on the information provided by Proposer in its proposal. UT System may give consideration to additional information if UT System deems such information relevant.

The criteria to be considered by UT System in evaluating proposals and selecting Preferred Supplier, will be those factors listed below:

2.3.1 Threshold Criteria Not Scored

- 2.3.1.1 Ability of UT System to comply with laws regarding Historically Underutilized Businesses; and

- 2.3.1.2 Ability of UT System to comply with laws regarding purchases from persons with disabilities.
- 2.3.2 Scored Criteria
- 2.3.2.1 cost of the goods and services;
- 2.3.2.2 reputation of Proposer and of Proposer's goods or services;
- 2.3.2.3 quality of Proposer's goods or services;
- 2.3.2.4 extent to which the goods or services meet UT System's needs;
- 2.3.2.5 Proposer's past relationship with UT System;
- 2.3.2.6 the total long-term cost of acquiring Proposer's goods or services ; and
- 2.3.2.7 Proposer's exceptions to the terms and conditions set forth in **Section 4** of this RFP.

2.4 Key Events Schedule

Issuance of RFP	March 3, 2017
Deadline for Indicating Interest in Attending Pre-Proposal Conference (ref. Section 2.6 of this RFP)	March 15, 2017
Pre-Proposal Conference (ref. Section 2.6 of this RFP)	March 22, 2017, 11:00 AM, Houston Time
Deadline for Questions/Concerns (ref. Section 2.2 of this RFP)	March 29, 2017, 5:00 PM, Houston Time
Submittal Deadline (ref. Section 2.1 of this RFP)	April 10, 2017, 3:00 PM, Houston Time
Selection of Finalists	May 2017
Finalists Interviews and Negotiations	June 2017
Anticipated Contract Award(s)	July 2017

IMPORTANT NOTICE: The Key Events Schedule represents many sourcing and contracting activities occurring within a short period of time. Proposer is asked in advance to make the following resources available to expedite the selection and contracting process:

1. If selected as a finalist, Proposer may be required to attend an interview session that includes a face-to-face meeting with an advance notice of no more than one week. The anticipated location of this activity is Houston, Texas.
2. If selected for contract award, Proposer should have its chief legal and business officers available for commencement of contract negotiations with 72 hours of notice of award. Such negotiations may take place face-to-face in order to expedite the contracting phase. The anticipated location of this activity is Houston, Texas. Proposer is requested to

reference **Section 4.1** of this RFP and provide any exceptions as part of Proposer's RFP response.

Proposer should not underestimate the necessity of complying with the Key Events Schedule and critical activities listed above. UT System reserves the right to revise the Key Events Schedule at any time.

2.5 Historically Underutilized Businesses

- 2.5.1 All agencies of the State of Texas are required to make a good faith effort to assist historically underutilized businesses (each a "**HUB**") in receiving contract awards. The goal of the HUB program is to promote full and equal business opportunity for all businesses in contracting with state agencies. Pursuant to the HUB program, if under the terms of any agreement or contractual arrangement resulting from this RFP, Preferred Supplier subcontracts any of its performance hereunder, Preferred Supplier must make a good faith effort to utilize HUBs certified by the Texas Procurement and Support Services Division of the Texas Comptroller of Public Accounts or any successor agency. Proposals that fail to comply with the requirements contained in this **Section 2.5** will constitute a material failure to comply with advertised specifications and will be rejected by UT System as non-responsive. Additionally, compliance with good faith effort guidelines is a condition precedent to awarding any agreement or contractual arrangement resulting from this RFP. Proposer acknowledges that, if selected by UT System, its obligation to make a good faith effort to utilize HUBs when subcontracting hereunder will continue throughout the term of all agreements and contractual arrangements resulting from this RFP. Furthermore, any subcontracting hereunder by Proposer is subject to review by UT System to ensure compliance with the HUB program.
- 2.5.2 UT System has reviewed this RFP in accordance with Title 34, *Texas Administrative Code*, Section 20.13 (a), and has determined that subcontracting opportunities are probable under this RFP.
- 2.5.3 A HUB Subcontracting Plan ("**HSP**") is required as part of Proposer's proposal. The HSP will be developed and administered in accordance with UT System's Policy on Utilization of Historically Underutilized Businesses attached as **APPENDIX TWO** and incorporated herein for all purposes.

*Each Proposer must complete and return the HSP in accordance with the terms and conditions of this RFP, including **APPENDIX TWO**. Proposals that fail to do so will be considered non-responsive to this RFP in accordance with Section 2161.252, Texas Government Code.*

Preferred Supplier will not be permitted to change its HSP unless: (1) Preferred Supplier completes a newly modified version of the HSP in accordance with the terms of **APPENDIX TWO** that sets forth all changes requested by Preferred Supplier, (2) Preferred Supplier provides UT System with such modified version of the HSP, (3) UT System approves the modified HSP in writing, and (4) all agreements or contractual arrangements resulting from this RFP are amended in writing by UT System and Preferred Supplier to conform to the modified HSP.

- 2.5.4 Proposer must submit one (1) signed copy of the HSP to UT System at the same time as it submits its proposal to UT System (ref. **Section 3.1** of this RFP). The signed copy of the

HSP (the “**HSP Packet**”) must be submitted electronically utilizing the SciQuest e-sourcing tool as more particularly described in **Section 3.1** of this RFP. Proposer must ensure that the HSP Packet is submitted according to the electronic instructions provided in this RFP.

Any proposal submitted in response to this RFP that is not accompanied by an HSP Packet meeting the above requirements will be rejected by UT System and remain unopened, as that proposal will be considered non-responsive due to material failure to comply with advertised specifications. Furthermore, UT System will open a Proposer’s HSP Packet prior to opening the proposal submitted by Proposer, in order to ensure that Proposer has submitted a signed copy of the Proposer’s HSP Packet as required by this RFP. A Proposer’s failure to submit a signed copy of the completed HSP Packet as required by this RFP will result in UT System’s rejection of the proposal submitted by that Proposer as non-responsive, due to material failure to comply with advertised specifications; such a proposal will remain unopened and will be disqualified and not reviewed by UT System (ref. **Section 1.5** of **APPENDIX ONE** to this RFP).

Note: The requirement that Proposer provide a signed and completed HSP Packet under this **Section 2.5.4** is separate from and does not affect Proposer’s obligation to provide UT System with its proposal as specified in **Section 3.1** of this RFP.

- 2.5.5 UT System may offer Proposer the opportunity to seek an informal review of its draft HSP by the UT System Office of HUB Development. If so, details regarding this opportunity will be provided in the Pre-Proposal Conference (ref. **Section 2.6** of this RFP) or by other means. This process of informal review is designed to help address questions Proposer may have about how to complete its HSP properly. Any concurrence in or comments on the draft HSP by the UT System Office of HUB Development will NOT constitute formal approval of the HSP, and will NOT eliminate the need for Proposer to submit its final HSP to UT System, concurrently with its proposal, in accordance with the detailed instructions in this **Section 2.5**.

2.6 Pre-Proposal Conference

UT System will hold a pre-proposal conference at **11:00 AM**, Houston Time, on **March 22, 2017**. Proposers may attend the conference in one of the following two formats:

in person attendance located in the One Mid-Campus Building at 7007 Bertner Ave. Suite 11.2339, TX 77030 (located in the Texas Medical Center); or

webinar broadcast via the Internet utilizing the “Go-to-Meeting” webinar conference service.

The Pre-Proposal Conference will allow all Proposers an opportunity to ask the Alliance, the Strategic Services Group, and UT System HUB representatives relevant questions and clarify provisions of this RFP. Proposer should notify the UT System Contact **by no later than March 15, 2017**, whether it will attend the Pre-Proposal Conference, by emailing the UT System Contact at TKuo2@mdanderson.org. Proposer must clearly state in which format it will attend. If the Proposer elects to attend the Pre-Proposal Conference in the webinar format, UT System will provide complete details and instructions (including personal computer requirements). If Proposer elects to attend the Pre-Proposal Conference in person, there will be a strict limit of two (2) individuals per Proposer.

SECTION 3

SUBMISSION OF PROPOSAL

3.1 Electronic Submission Notice

Submittal of proposals in response to this RFP will be conducted entirely electronically, utilizing the SciQuest e-sourcing tool. To register for participation in this RFP, please email or call the UT System Contact for further instructions. An original signature by an authorized officer of Proposer must appear on the Execution of Offer (ref. **Section 2** of **APPENDIX ONE**) and electronically uploaded as instructed. Proposals must be completed and received by UT System on or before the Submittal Deadline (ref. **Section 2.1** of this RFP).

3.2 Proposal Validity Period

Each proposal must state that it will remain valid for UT System's acceptance for a minimum of one hundred eighty (180) days after the Submittal Deadline, to allow time for evaluation, selection, and any unforeseen delays.

3.3 Terms and Conditions

3.3.1 Proposer must comply with the requirements and specifications contained in this RFP, the General Terms and Conditions (ref. **Section 4** of this RFP), the Notice to Proposer (ref. **Section 2** of this RFP), Proposal Requirements (ref. **APPENDIX ONE**) and the Specifications, Additional Questions and Scope of Work (ref. **Section 5** of this RFP). If there is a conflict among the provisions in this RFP, the provision requiring Proposer to supply the better quality or greater quantity of goods and services will prevail, or if such conflict does not involve quality or quantity, then interpretation will be in the following order of precedence:

- 3.3.1.1 Specifications, Additional Questions and Scope of Work (ref. **Section 5** of this RFP);
- 3.3.1.2 General Terms and Conditions (ref. **Section 4** of this RFP);
- 3.3.1.3. Proposal Requirements (ref. **APPENDIX ONE**); and
- 3.3.1.4 Notice to Proposer (ref. **Section 2** of this RFP).

3.4 Submittal Checklist

Proposer is instructed to complete, sign, and upload into the SciQuest e-Sourcing tool, the following documents as a part of its proposal. If Proposer fails to return each of the following items with its proposal, UT System may reject the proposal:

- 3.4.1 Signed and Completed Execution of Offer (ref. **Section 2** of **APPENDIX ONE**).
- 3.4.2 Responses to questions and requests for information in the Specifications, Additional Questions and Scope of Work Section (ref. **Section 5** of this RFP).
- 3.4.3 Signed and Completed Pricing Affirmation (ref. **Section 6** of this RFP).

- 3.4.4 Signed and completed copy of the HUB Subcontracting Plan or other applicable documents (ref. **Section 2.5** of this RFP and **APPENDIX TWO**).
- 3.4.5 Responses to Proposer's Survey (ref. **Section 5.5** of this RFP).
- 3.4.6 Proposer's Price Schedule (ref. **Section 5.6** of this RFP).

SECTION 4

GENERAL TERMS AND CONDITIONS

4.1 General Information regarding Structure of Transaction and Terms and Conditions

The structure of the transaction UT System intends to enter into as a result of this RFP will be substantially similar to the following: (1) one Preferred Supplier Agreement (“**PSA**”) between UT System and Preferred Supplier; and (2) several Institutional Participation Agreements (each an “**IPA**”) signed by participating Alliance members and affiliates (collectively, the “**Agreement**”).

The terms and conditions contained in the attached Sample Preferred Supplier Agreement (ref. **APPENDIX THREE**) or, in the sole discretion of UT System, terms and conditions substantially similar to those contained in **APPENDIX THREE**, will constitute and govern any agreement that results from this RFP. If Proposer takes exception to any terms or conditions set forth in the Preferred Supplier Agreement, Proposer must submit a list of the exceptions as part of its proposal in accordance with **Section 5.3** of this RFP. Proposer's exceptions will be reviewed by UT System and may result in disqualification of Proposer's proposal as non-responsive to this RFP. If Proposer's exceptions do not result in disqualification of Proposer's proposal, UT System may consider Proposer's exceptions when UT System evaluates the Proposer's proposal.

SECTION 5

SPECIFICATIONS, ADDITIONAL QUESTIONS AND SCOPE OF WORK

5.1 General

The requirements and specifications for the CAC and CDI Solution, as well as certain requests for information to be provided by Proposer as part of its proposal, are set forth below. The winning Proposer should understand that the CAC and CDI Solution will be required to be provided directly to Institutional Participants, and not to UT System or the Alliance.

5.2 Minimum Requirements

- 5.2.1 Preferred Supplier must pay to the Alliance an administrative fee of two percent (2%) of the Total Net Sales made under the Agreement (ref. **Section 6.2** of this RFP). This fee will be payable quarterly, based on the Total Net Sales made by Preferred Supplier under the Agreement during the related quarter. The fee will be used to defray the costs incurred by the Alliance, as UT System's own, in-house group purchasing organization, in organizing, implementing, sustaining and optimizing group procurements for UT System institutions.

5.3 Additional Questions Specific to this RFP and Scope of Work

Proposer must submit the following information as part of Proposer's proposal:

- 5.3.1 In its proposal, Proposer must indicate whether it will consent to include in the Agreement the "Access by Individuals with Disabilities" language that is set forth in **APPENDIX FOUR, Access by Individuals with Disabilities**. If Proposer objects to the inclusion of the "Access by Individuals with Disabilities" language in the Agreement, Proposer must, as part of its proposal, specifically identify and describe in detail all of the reasons for Proposer's objection. **NOTE THAT A GENERAL OBJECTION IS NOT AN ACCEPTABLE RESPONSE TO THIS QUESTION.**
- 5.3.2 If Proposer takes exception to any terms or conditions set forth in **Section 4** of this RFP, Proposer must submit a list of the exceptions.
- 5.3.3 Proposers will provide answers to the questions listed in the Proposer's Survey ("**Proposer's Survey**") (ref. **Section 5.5** of this RFP) to the best of Proposer's knowledge, as responses may be incorporated into the Agreement. The questions in the Proposer's Survey will provide UT System with additional information about Proposer and various efficiencies and economies of scale that Proposer may provide to participating institutions.
- 5.3.4 In its proposal, Proposer must respond to each item listed in **APPENDIX FIVE, Electronic and Information Resources ("EIR") Environment Specifications**. **APPENDIX FIVE** will establish specifications, representations, warranties and agreements related to the EIR that Proposer is offering to provide. Responses to **APPENDIX FIVE** will be incorporated into the Agreement and will be binding on Proposer.
- 5.3.5 In its proposal, Proposer must respond to each item listed in **APPENDIX SIX, Security Characteristics and Functionality of Contractor's Information Resources**. **APPENDIX SIX** will establish specifications, representations, warranties and agreements related to the EIR that Proposer is offering to provide. Responses to **APPENDIX SIX** will be incorporated into the Agreement and will be binding on Proposer.
- 5.3.6 By signing the Execution of Offer (ref. **Section 2** of **APPENDIX ONE**), Proposer agrees to comply with Section 2252.908, Government Code ("**Disclosure of Interested Parties Statute**"), and 1 Texas Administration Code Sections 46.1 through 46.5 ("**Disclosure of Interested Parties Regulations**"), as implemented by the Texas Ethics Commission ("**TEC**"), including, among other things, providing the TEC and UT System with the information required on the form promulgated by the TEC and set forth in **APPENDIX EIGHT**. Proposers may learn more about these disclosure requirements, including the use of the TEC electronic filing system, by reviewing the information on the TEC website at https://www.ethics.state.tx.us/whatsnew/FAQ_Form1295.html.

5.4 Scope of Work

- 5.4.1 General Description. UT System intends to identify one or more Preferred Suppliers to provide the software tools and services for computer-assisted coding and clinical documentation improvement that are the subject of this RFP. As noted earlier (ref. **Section 1.2** of this RFP), proposals for only a portion of the required software tools and services will be considered, if each portion is compatible with software tools and services provided by other successful Proposers. The details noted below will form the basis for the Scope of Work to be included in the Agreement to be concluded between UT System and Preferred Supplier.

The following outlines the essential requirements for provision of the CAC and CDI Solution. The Proposer acknowledges and understands that this RFP provides a general description of the work to be performed and is not intended to be all inclusive. Proposer must be familiar with the requirements and general conditions that are essential to provide the CAC and CDI Solution consistent with industry best practices and in accordance with all licensing, regulations, and professional standards. Software and services within the scope of this RFP include, but are not limited to, those described below.

UT System is seeking to acquire a CAC Solution that uses natural language processing (NLP) technology to automatically generate a set of medical codes for review, validation, and use, based upon provider's clinical documentation.

UT System wishes to acquire a CAC and CDI Solution that will:

- Auto-suggest both ICD-10CM and ICD-10-PCS code sets, as well as CPT codes;
- Streamline the coding workflow and reduce backlogs by increasing coder productivity, including, but not limited to, the ability to navigate through longer, difficult chart documentation more quickly;
- Offer a complete coding audit trail, establishing a record of interaction with the chart and of changes to coded information, as well as identifying documentation that was used to assign the code;
- Increase transparency by providing evidence of both the workflow and thought processes that went into the coding results;
- Improve consistency in the coding process across multiple coding resources, specifically when employing coders with differing levels of experience and varying skills;
- Improve accuracy of coding output, including, but not limited to, a decrease in denials, reduction in audit discrepancies, and identification of lost charges that may have previously been under-coded;
- Maximize the volume and percent charges released for billing without human intervention due to adequate confidence levels and ability to rely on CAC application
- Reduce the preparation work for audits, while simultaneously improving audit outcomes;
- Allow coders to focus on the review and validation of the CAC output and other important tasks such as ensuring compliance with coding initiatives;
- Expedite chart-to-bill times through enhanced coder productivity;

- Employ an NLP engine that continuously learns from coder feedback, thereby improving precision and recall performance over time;
- Permit the customization of workflow queues across a department or system;
- Allow coders to move fluidly between screens, using as few clicks as possible in order to complete the review process;
- Compile documentation from multiple disparate sources to simplify coder review;
- Support a workflow process to flag incomplete physician documentation to proactively support clinical documentation improvement (CDI) initiatives and reduce retrospective queries and delays;
- Integrate with any current remote coding platforms;
- Reduce accounts receivable days and “discharged not final billed” (DNFB) accounts;
- Analyze the context of key words to determine whether they require coding;
- Improve coder and CDI staff satisfaction;
- Provide for the ability to automatically bill, without coder involvement, once sufficient confidence has been established with the technology;
- Support cross-departmental communication to better understand patient outcomes and share best practices;
- Improve the capture of relevant diagnoses and procedure codes to foster better reporting;
- Provide the ability to export data to Microsoft Office applications;
- Reduce compliance risks, minimize vulnerability during external audits, and provide insight into legal quality of care issues;
- Enable real-time reinforcement that supports accurate and thorough documentation practices;
- Reduce physician queries that remain unanswered or improve quality responses;
- Generate comprehensive management, monitoring, and auditing reports related to case mix trending, coder activity, and physician query management.

The included Proposer's Survey (ref. **Section 5.5** of this RFP) is a series of questions that will provide each Proposer the opportunity to explain how its proposed solution meets UT System's needs. The questions in the Proposer's Survey were created by the group of SMEs assembled from the participating UT System health institutions. Responses to the questions in the Proposer's Survey must detail clearly (1) how the product/solution offered by the Proposer can meet the needs addressed by the questions, (2) whether there is an alternative way of meeting the needs, or (3) whether Proposer cannot meet the needs.

In addition, any submitted proposal must specify all hardware, software, enterprise licensing costs, and sizing specifications to facilitate pricing a solution for a given institution. Detailed descriptions of software and hardware with all associated costs must be itemized, and architectural drawings with explanations must be included.

Proposer must list all the services and pricing options with an unbundled breakdown of costs, including all required travel costs. This would include maintenance and support, software hosting, software installation, interface design, technical support, and training, where applicable.

Proposer is encouraged to specify any special certifications, awards, or other industry recognizable achievements that might set it apart from its competitors.

Proposer must provide financial information about its company, alliance relationships, customer size with business sectors, along with customer references. Lastly, Proposer must explain its product and service support model with pricing options.

5.4.2 Campus Requirements.

5.4.2.1 Each Institutional Participant will have its own unique set of rules and regulations for conducting business on its campuses. Preferred Supplier will be responsible for compliance with each Institutional Participant's rules and regulations, including any and all requirements for background checks, badging/credentialing, and security.

5.4.2.2 Preferred Supplier will establish with each Institutional Participant campus-specific delivery methods, delivery schedules, and delivery locations.

5.4.2.3 Preferred Supplier will cause its representatives, agents, employees and permitted subcontractors (if any) to become aware of, fully informed about, and in full compliance with all applicable UT System and Institutional Participant rules and policies, including, without limitation, those relative to personal health, security, environmental quality, safety, fire prevention, noise, smoking, and access restrictions; consideration for students, patients and their families as well as employees; parking; and security.

5.4.3 Preferred Supplier-Alliance Account Support Team. Preferred Supplier will provide a Senior Management Account Representative with the authority and responsibility for the overall success of the Agreement within Preferred Supplier's organization. The Preferred Supplier also will designate an individual assigned to the Alliance account responsible for: (i) receiving and providing ongoing communications by and between Preferred Supplier and UT System; (ii) monitoring the overall implementation of the Agreement at each

Institutional Participant and providing updates and activity/sales reports to the UT System Contract Administrator (who will be designated by UT System as responsible for day-to-day management of the Preferred Supplier – UT System relationship and who will serve as Preferred Supplier’s primary contact for and on behalf of Institutional Participants on all matters relating to the Agreement); (iii) identifying and fostering process improvements; (iv) serving as the liaison to engage resources with Preferred Supplier’s organization to troubleshoot and resolve problems; (v) organizing Quarterly Business Reviews (“**QBRs**”); monitoring Key Performance Indicators (“**KPIs**”) and (vi) providing early warning notices of service performance and other concerns to Preferred Supplier’s management team and the UT System Contract Administrator.

5.4.4 Preferred Supplier-Institutional Participant Account Support Team. Each Institutional Participant will have different support needs. Upon Institutional Participant signing an IPA, Preferred Supplier will develop with Institutional Participant a mutually agreed-upon, customized work plan, to include without limitation: local performance measures; program goals; implementation plan; training plan; ordering method(s); invoicing method(s); and premises rules.

5.4.5 Invoicing and Payment.

5.4.5.1 Preferred Supplier will invoice Institutional Participants, not UT System or the Alliance. Due to the various procurement platforms used by Institutional Participants, invoicing requirements will be established by agreement between Preferred Supplier and each Institutional Participant. Each invoice relating to the Agreement will reference the appropriate Institutional Participant purchase order number and include a detailed description of the products and services to which it relates.

5.4.5.2 Each Institutional Participant is solely responsible for the payment of any purchase orders it issues, and no other Institutional Participant will have any liability whatsoever relating to a purchase order issued by another Institutional Participant.

5.4.5.3 Institutional Participant will remit payments of invoices issued under the Agreement on a Net 30 Days basis, subject to requirements of the Texas Prompt Payment Act.

5.4.5.4 Preferred Supplier will resolve all order and invoice discrepancies within five (5) business days after written notification or, if because of their nature, the discrepancies cannot be resolved within that time frame, Preferred Supplier will take all of the steps the Institutional Participant’s purchasing department deems necessary.

5.4.6 Pricing.

5.4.6.1 Preferred Supplier’s overall price structure and discount levels will remain firm and unchanged for the term of the Agreement, unless otherwise agreed upon in

writing by the UT System Contract Administrator and Preferred Supplier; *provided, however*, Preferred Supplier may provide additional discounts above those stated in the Agreement, and Preferred Supplier is encouraged to do so. Preferred Supplier will document all additional discounts in written email correspondence to the UT System Contract Administrator.

- 5.4.6.2 All prices quoted to UT System or Institutional Participants will be inclusive of all fees and charges due and payable to Preferred Supplier by Institutional Participant.
- 5.4.6.3 Preferred Supplier and the UT System Contract Administrator will review all price structures for the Services on a periodic basis as determined by the UT System Contract Administrator. Preferred Supplier's initial and subsequent pricing will be benchmarked by the Strategic Services Group for market competitiveness. Preferred Supplier agrees to negotiate in good faith to adjust pricing if necessary to remain competitive. Should pricing listed in the Agreement change during such periodic reviews, such changes will be documented in a written amendment to the Agreement agreed to by Preferred Supplier and the UT System Contract Administrator
- 5.4.7 Management Reports. Preferred Supplier will submit to the UT System Contract Administrator the reports listed below, within thirty (30) days after the close of each calendar quarter. The reports will be provided in electronic format or computer-generated spreadsheets, in accordance with a template to be provided by UT System. At a minimum, the reports will provide:
 - 5.4.7.1 Sales History Report: sales for the current quarter and for total calendar year to date to each Institutional Participant, with sales broken out for by service provided (e.g., contingent workers, payroll services, etc.)
 - 5.4.7.2 HUB Report: information as required by the HUB subcontracting plan, as applicable.
- 5.4.8 Preferred Supplier Relationship Management. Preferred Supplier and the UT System Contract Administrator will meet once each quarter to conduct a Quarterly Business Review ("**QBR**") as further described in **APPENDIX THREE – 400**.

5.5 Proposer's Survey

The Proposer's Survey contains a list of additional questions the Proposer will answer when responding to this RFP. If Proposer needs to submit additional supporting information, refer to the supporting information in responses to the Proposer's Survey and attach supporting materials in a logical and clear manner. Any supporting information must be included in electronic form via the SciQuest e-Sourcing tool and must follow the following naming convention: (<Proposer Name> - <Question Number> - Response - <File Name>).

SECTION 6
PRICE SCHEDULE AND AFFIRMATION

6.1 Price Schedule

Proposer must submit, as part of its proposal, detailed prices for the CAC and CDI Solution described in **Section 5.4** (Scope of Work) of this RFP. The prices must include all charges associated with providing the full scope of work.

6.2 Pricing Affirmation

THE FOLLOWING FORM MUST BE COMPLETED, SIGNED AND SUBMITTED WITH THE PROPOSER'S PROPOSAL. FAILURE TO DO SO WILL RESULT IN THE REJECTION OF YOUR PROPOSAL.

Proposal of: _____
(Proposer Company Name)

To: The University of Texas System

Ref.: Preferred Supplier of Computer-Assisted Coding Software Solution

RFP No.: UTS/A58

Ladies and Gentlemen:

Having carefully examined all the specifications and requirements of this RFP and any attachments thereto, the undersigned proposes to furnish the subject CAC and CDI Solution upon the pricing terms quoted below.

The prices quoted in in response to this RFP (see **Section 5.6**) will be Proposer's guaranteed pricing.

Proposer agrees that if Proposer is awarded an agreement under this RFP, it will provide to UT System an administrative fee of two percent (2%) of the Total Net Sales made by Preferred Supplier under the Agreement, as described in **Section 5.2.1** of this RFP. *[Note to Proposer: this will be addressed in the Agreement's Scope of Work.]* "**Total Net Sales**" means the total dollar amount of all sales of the subject CAC and CDI Solution that are made by Preferred Supplier to Institutional Participants, less credits, returns, taxes, and unpaid invoices.

Subject to the requirements of the Texas Prompt Payment Act (Chapter 2251, *Texas Government Code*), UT System's standard payment terms are "Net 30 days." Proposer will provide the following prompt payment discount:

Prompt Payment Discount: _____%_____days/net 30 days.

Proposer certifies and agrees that all prices proposed in Proposer's proposal have been reviewed and approved by Proposer's executive management.

Respectfully submitted,

Proposer: _____

By: _____
(Authorized Signature for Proposer)
Name: _____
Title: _____
Date: _____

APPENDIX ONE

PROPOSAL REQUIREMENTS

SECTION 1 GENERAL INFORMATION

1.1 Purpose

UT System is soliciting competitive sealed proposals from Proposers having suitable qualifications and experience providing goods and services in accordance with the terms, conditions and requirements set forth in this RFP. This RFP provides sufficient information for interested parties to prepare and submit proposals for consideration by UT System.

By submitting a proposal, Proposer certifies that it understands this RFP and has full knowledge of the scope, nature, quality, and quantity of the goods and services to be performed, the detailed requirements of the goods and services to be provided, and the conditions under which such goods and services are to be performed. Proposer also certifies that it understands that all costs relating to preparing a response to this RFP will be the sole responsibility of Proposer.

PROPOSER IS CAUTIONED TO READ THE INFORMATION CONTAINED IN THIS RFP CAREFULLY AND TO SUBMIT A COMPLETE RESPONSE TO ALL REQUIREMENTS AND QUESTIONS AS DIRECTED.

1.2 Inquiries and Interpretations

UT System may in its sole discretion respond in writing to written inquiries concerning this RFP and post its response as an Addendum to all parties recorded by UT System as participating in this RFP. Only UT System's responses that are made by formal written Addenda will be binding on UT System. Any verbal responses, written interpretations or clarifications other than Addenda to this RFP will be without legal effect. All Addenda issued by UT System prior to the Submittal Deadline will be and are hereby incorporated as a part of this RFP for all purposes.

Proposers are required to acknowledge receipt of each Addendum by selecting "acknowledge" in the Addendum section of the RFP in SciQuest. Each Addendum must be acknowledged by Proposer prior to the Submittal Deadline and should accompany Proposer's proposal.

1.3 Public Information

Proposer is hereby notified that UT System strictly adheres to all statutes, court decisions and the opinions of the Texas Attorney General with respect to disclosure of public information.

UT System may seek to protect from disclosure all information submitted in response to this RFP until such time as a final agreement is executed.

Upon execution of a final agreement, UT System will consider all information, documentation, and other materials requested to be submitted in response to this RFP, to be of a non-confidential and non-proprietary nature and, therefore, subject to public disclosure under the *Texas Public Information Act* (*Government Code*, Chapter 552.001, et seq.). Proposer will be advised of a

request for public information that implicates their materials and will have the opportunity to raise any objections to disclosure to the Texas Attorney General. Certain information may be protected from release under Sections 552.101, 552.110, 552.113, and 552.131, *Government Code*.

1.4 Type of Agreement

Preferred Supplier, if any, will be required to enter into an agreement with UT System in a form that (i) includes terms and conditions substantially similar to those set forth in **Section 4** of this RFP, and (ii) is otherwise acceptable to UT System in all respects.

1.5 Proposal Evaluation Process

UT System will select Preferred Supplier by using the competitive sealed proposal process described in this Section. UT System will open the HSP Packet submitted by a Proposer prior to opening Proposer's proposal in order to ensure that Proposer has submitted the completed and signed HUB Subcontracting Plan (also called the HSP) that is required by this RFP (ref. **Section 2.5.4** of the RFP). All proposals submitted by the Submittal Deadline accompanied by the completed and signed HSP required by this RFP will be opened. Any proposals that are not submitted by the Submittal Date or that are not accompanied by the completed and signed HSP required by this RFP will be rejected by UT System as non-responsive due to material failure to comply with advertised specifications. After the opening of the proposals and upon completion of the initial review and evaluation of the proposals, UT System may invite one or more selected Proposers to participate in oral presentations. UT System will use commercially reasonable efforts to avoid public disclosure of the contents of a proposal prior to selection of Preferred Supplier.

UT System may make the selection of Preferred Supplier on the basis of the proposals initially submitted, without discussion, clarification or modification. In the alternative, UT System may make the selection of Preferred Supplier on the basis of negotiation with any of Proposers. In conducting such negotiations, UT System will avoid disclosing the contents of competing proposals.

At UT System's sole option and discretion, UT System may discuss and negotiate all elements of the proposals submitted by selected Proposers within a specified competitive range. For purposes of negotiation, UT System may establish, after an initial review of the proposals, a competitive range of acceptable or potentially acceptable proposals composed of the highest rated proposal(s). In that event, UT System will defer further action on proposals not included within the competitive range pending the selection of Preferred Supplier; provided, however, UT System reserves the right to include additional proposals in the competitive range if deemed to be in the best interests of UT System.

After submission of a proposal but before final selection of Preferred Supplier is made, UT System may permit a Proposer to revise its proposal in order to obtain Proposer's best and final offer. In that event, representations made by Proposer in its revised proposal, including price and fee quotes, will be binding on Proposer. UT System will provide each Proposer within the competitive range with an equal opportunity for discussion and revision of its proposal. UT System is not obligated to select Proposer offering the most attractive economic terms if that Proposer is not the most advantageous to UT System overall, as determined by UT System.

UT System reserves the right to (a) enter into an agreement for all or any portion of the requirements and specifications set forth in this RFP with one or more Proposers, (b) reject any and all proposals and re-solicit proposals, or (c) reject any and all proposals and temporarily or

permanently abandon this selection process, if deemed to be in the best interests of UT System. Proposer is hereby notified that UT System will maintain in its files concerning this RFP a written record of the basis upon which a selection, if any, is made by UT System.

1.6 Proposer's Acceptance of Evaluation Methodology

By submitting a proposal, Proposer acknowledges (1) Proposer's acceptance of [a] the Proposal Evaluation Process (ref. **Section 1.5** of **APPENDIX ONE**), [b] the Criteria for Selection (ref. **2.3** of this RFP), [c] the Specifications, Additional Questions and Scope of Work (ref. **Section 5** of this RFP), [d] the terms and conditions set forth in **Section 4** of this RFP, and [e] all other requirements and specifications set forth in this RFP; and (2) Proposer's recognition that some subjective judgments must be made by UT System during this RFP process.

1.7 Solicitation for Proposal and Proposal Preparation Costs

Proposer understands and agrees that (1) this RFP is a solicitation for proposals and UT System has made no representation written or oral that one or more agreements with UT System will be awarded under this RFP; (2) UT System issues this RFP predicated on UT System's anticipated requirements for the related goods and services, and UT System has made no representation, written or oral, that any particular goods or services will actually be required by UT System; and (3) Proposer will bear, as its sole risk and responsibility, any cost that arises from Proposer's preparation of a proposal in response to this RFP.

1.8 Proposal Requirements and General Instructions

- 1.8.1 Proposer should carefully read the information contained herein and submit a complete proposal in response to all requirements and questions as directed.
- 1.8.2 Proposals and any other information submitted by Proposer in response to this RFP will become the property of UT System.
- 1.8.3 UT System will not provide compensation to Proposer for any expenses incurred by Proposer for proposal preparation or for demonstrations or oral presentations that may be made by Proposer, unless otherwise expressly agreed in writing. Proposer submits its proposal at its own risk and expense.
- 1.8.4 Proposals that (i) are qualified with conditional clauses; (ii) alter, modify, or revise this RFP in any way; or (iii) contain irregularities of any kind, are subject to disqualification by UT System, at UT System's sole discretion.
- 1.8.5 Proposals should be prepared simply and economically, providing a straightforward, concise description of Proposer's ability to meet the requirements and specifications of this RFP. Emphasis should be on completeness, clarity of content, and responsiveness to the requirements and specifications of this RFP.
- 1.8.6 UT System makes no warranty or guarantee that an award will be made as a result of this RFP. UT System reserves the right to accept or reject any or all proposals, waive any formalities, procedural requirements, or minor technical inconsistencies, and delete any requirement or specification from this RFP when deemed to be in UT System's best interest. UT System reserves the right to seek clarification from any Proposer concerning any item contained in its proposal prior to final selection. Such clarification may be

provided by telephone conference or personal meeting with or writing to UT System, at UT System's sole discretion. Representations made by Proposer within its proposal will be binding on Proposer.

- 1.8.7 Any proposal that fails to comply with the requirements contained in this RFP may be rejected by UT System, in UT System's sole discretion.

1.9 Preparation and Submittal Instructions

1.9.1 Specifications and Additional Questions

Proposals must include responses to the questions referenced in Specifications, Additional Questions and Scope of Work (ref. **Section 5** of this RFP).

1.9.2 Execution of Offer

Proposer must complete, sign and return the attached Execution of Offer (ref. **Section 2** of **APPENDIX ONE**) as part of its proposal. The Execution of Offer must be signed by a representative of Proposer duly authorized to bind Proposer to its proposal. Any proposal received without a completed and signed Execution of Offer may be rejected by UT System, in its sole discretion.

1.9.3 Pricing Affirmation

Proposer must complete and return the Pricing Affirmation (ref. **Section 6** of this RFP), as part of its proposal.

UT System will not recognize or accept any charges or fees that are not specifically stated in the Pricing Affirmation.

1.9.4 Submission

Proposer should submit all proposal materials via the SciQuest e-sourcing tool. Proposer should ensure that all documents are submitted electronically in accordance with the instructions in **Section 3.1** of this RFP.

Proposer must also submit the HUB Subcontracting Plan (also called the HSP) as required by this RFP (ref. **Section 2.5** of the RFP.)

UT System will not, under any circumstances, consider a proposal that is received after the Submittal Deadline or which is not accompanied by the completed and signed HSP that is required by this RFP.

UT System will not accept proposals submitted by telephone, proposals submitted by Facsimile ("**FAX**") transmission, or proposals submitted by hard copy (i.e., paper form) in response to this RFP.

Except as otherwise provided in this RFP, no proposal may be changed, amended, or modified after it has been submitted to UT System. However, a proposal may be withdrawn and resubmitted at any time prior to the Submittal Deadline. No proposal may be withdrawn after the Submittal Deadline without UT System's consent, which will be based

on Proposer's submittal of a written explanation and documentation evidencing a reason acceptable to UT System, in UT System's sole discretion.

By signing the Execution of Offer (ref. **Section 2** of **APPENDIX ONE**) and submitting a proposal, Proposer certifies that any terms, conditions, or documents attached to or referenced in its proposal are applicable to this procurement only to the extent that they (a) do not conflict with the laws of the State of Texas or this RFP and (b) do not place any requirements on UT System that are not set forth in this RFP or in the Appendices to this RFP. Proposer further certifies that the submission of a proposal is Proposer's good faith intent to enter into the Agreement with UT System as specified herein and that such intent is not contingent upon UT System's acceptance or execution of any terms, conditions, or other documents attached to or referenced in Proposer's proposal.

SECTION 2 **EXECUTION OF OFFER**

THIS EXECUTION OF OFFER MUST BE COMPLETED, SIGNED AND RETURNED WITH PROPOSER'S PROPOSAL. FAILURE TO COMPLETE, SIGN AND RETURN THIS EXECUTION OF OFFER WITH PROPOSER'S PROPOSAL MAY RESULT IN THE REJECTION OF THE PROPOSAL.

- 2.1** By signature hereon, Proposer represents and warrants the following:
- 2.1.1 Proposer acknowledges and agrees that (1) this RFP is a solicitation for a proposal and is not a contract or an offer to contract; (2) the submission of a proposal by Proposer in response to this RFP will not create a contract between UT System and Proposer; (3) UT System has made no representation or warranty, written or oral, that one or more contracts with UT System will be awarded under this RFP; and (4) Proposer will bear, as its sole risk and responsibility, any cost arising from Proposer's preparation of a response to this RFP.
 - 2.1.2 Proposer is a reputable company that is lawfully and regularly engaged in providing the subject goods and services.
 - 2.1.3 Proposer has the necessary experience, knowledge, abilities, skills, and resources to perform under the Agreement.
 - 2.1.4 Proposer is aware of, is fully informed about, and is in full compliance with all applicable federal, state and local laws, rules, regulations and ordinances.
 - 2.1.5 Proposer understands (i) the requirements and specifications set forth in this RFP and (ii) the terms and conditions set forth in Section 4 of this RFP, under which Proposer will be required to operate.
 - 2.1.6 If selected by UT System, Proposer will not delegate any of its duties or responsibilities under this RFP or the Agreement to any sub-contractor, except as expressly provided in the Agreement.
 - 2.1.7 If selected by UT System, Proposer will maintain any insurance coverage as required by the Agreement during the term thereof.

- 2.1.8 All statements, information and representations prepared and submitted in response to this RFP are current, complete, true and accurate. Proposer acknowledges that UT System will rely on such statements, information and representations in selecting Preferred Supplier. If selected by UT System, Proposer will notify UT System immediately of any material change in any matters with regard to which Proposer has made a statement or representation or provided information.
- 2.1.9 PROPOSER WILL DEFEND WITH COUNSEL APPROVED BY UT SYSTEM, INDEMNIFY, AND HOLD HARMLESS UT SYSTEM, THE STATE OF TEXAS, AND ALL OF THEIR REGENTS, OFFICERS, AGENTS AND EMPLOYEES, FROM AND AGAINST ALL ACTIONS, SUITS, DEMANDS, COSTS, DAMAGES, LIABILITIES AND OTHER CLAIMS OF ANY NATURE, KIND OR DESCRIPTION, INCLUDING REASONABLE ATTORNEYS' FEES INCURRED IN INVESTIGATING, DEFENDING OR SETTLING ANY OF THE FOREGOING, ARISING OUT OF, CONNECTED WITH, OR RESULTING FROM ANY NEGLIGENT ACTS OR OMISSIONS OR WILLFUL MISCONDUCT OF PROPOSER OR ANY AGENT, EMPLOYEE, SUBCONTRACTOR, OR SUPPLIER OF PROPOSER IN THE EXECUTION OR PERFORMANCE OF ANY CONTRACT OR AGREEMENT RESULTING FROM THIS RFP.
- 2.1.10 Pursuant to Sections 2107.008 and 2252.903, *Government Code*, any payments owing to Proposer under any contract or agreement resulting from this RFP may be applied directly to any debt or delinquency that Proposer owes the State of Texas or any agency of the State of Texas regardless of when it arises, until such debt or delinquency is paid in full.
- 2.2** By signature hereon, Proposer offers and agrees to comply with all terms, conditions, requirements and specifications set forth in this RFP.
- 2.3** By signature hereon, Proposer affirms that it has not given or offered to give, nor does Proposer intend to give at any time hereafter, any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor or service to a public servant in connection with its submitted proposal. Failure to sign this Execution of Offer, or signing with a false statement, may void the submitted proposal or any resulting contracts, and Proposer may be removed from all proposal lists at UT System.
- 2.4** By signature hereon, Proposer certifies that it is not currently delinquent in the payment of any taxes due under Chapter 171, *Tax Code*, or that Proposer is exempt from the payment of those taxes, or that Proposer is an out-of-state taxable entity that is not subject to those taxes, whichever is applicable. A false certification will be deemed a material breach of any resulting contract or agreement and, at UT System's option, may result in termination of any resulting contract or agreement.
- 2.5** By signature hereon, Proposer hereby certifies that neither Proposer nor any firm, corporation, partnership or institution represented by Proposer, or anyone acting for such firm, corporation or institution, has violated the antitrust laws of the State of Texas, codified in Section 15.01, et seq., *Business and Commerce Code*, or the Federal antitrust laws, nor communicated directly or indirectly the proposal made to any competitor or any other person engaged in such line of business.
- 2.6** By signature hereon, Proposer certifies that the individual signing this document and the documents made a part of this RFP, is authorized to sign such documents on behalf of Proposer and to bind Proposer under any agreements and other contractual arrangements that may result from the submission of Proposer's proposal.

2.7 By signature hereon, Proposer certifies as follows:

"Under Section 231.006, *Family Code*, relating to child support, Proposer certifies that the individual or business entity named in Proposer's proposal is not ineligible to receive the specified contract award and acknowledges that any agreements or other contractual arrangements resulting from this RFP may be terminated if this certification is inaccurate."

2.8 By signature hereon, Proposer certifies that (i) no relationship, whether by blood, marriage, business association, capital funding agreement or by any other such kinship or connection exists between the owner of any Proposer that is a sole proprietorship, the officers or directors of any Proposer that is a corporation, the partners of any Proposer that is a partnership, the joint venturers of any Proposer that is a joint venture or the members or managers of any Proposer that is a limited liability company, on one hand, and any member of the Board of Regents of the University of Texas System or an employee of any component of The University of Texas System, on the other hand, other than the relationships which have been previously disclosed to UT System in writing; (ii) Proposer has not been an employee of any component institution of The University of Texas System within the immediate twelve (12) months prior to the Submittal Deadline; and (iii) no person who, in the past four (4) years served as an executive of a state agency was involved with or has any interest in Proposer's proposal or any contract resulting from this RFP (ref. Section 669.003, *Government Code*). All disclosures by Proposer in connection with this certification will be subject to administrative review and approval before UT System enters into a contract or agreement with Proposer.

2.9 By signature hereon, Proposer certifies that in accordance with Section 2155.004, *Government Code*, no compensation has been received for its participation in the preparation of the requirements or specifications for this RFP. In addition, Proposer certifies that an award of a contract to Proposer will not violate Section 2155.006, *Government Code*, prohibiting UT System from entering into a contract that involves financial participation by a person who, during the previous five years, has been convicted of violating federal law or assessed a penalty in a federal civil or administrative enforcement action in connection with a contract awarded by the federal government for relief, recovery, or reconstruction efforts as a result of Hurricane Rita, Hurricane Katrina, or any other disaster occurring after September 24, 2005. Pursuant to Sections 2155.004 and 2155.006, *Government Code*, Proposer certifies that Proposer is not ineligible to receive the award of or payments under the Agreement and acknowledges that the Agreement may be terminated and payment withheld if these certifications are inaccurate.

2.10 By signature hereon, Proposer certifies its compliance with all federal laws and regulations pertaining to Equal Employment Opportunities and Affirmative Action.

2.11 By signature hereon, Proposer represents and warrants that all products and services offered to UT System in response to this RFP meet or exceed the safety standards established and promulgated under the Federal Occupational Safety and Health Law (Public Law 91-596) and the *Texas Hazard Communication Act*, Chapter 502, *Health and Safety Code*, and all related regulations in effect or proposed as of the date of this RFP.

2.12 Proposer will and has disclosed, as part of its proposal, any exceptions to the certifications stated in this Execution of Offer. All such disclosures will be subject to administrative review and approval prior to the time UT System makes an award or enters into any contract or agreement with Proposer.

2.13 If Proposer will sell or lease computer equipment to UT System under any agreements or other contractual arrangements that may result from the submission of Proposer’s proposal then, pursuant to Section 361.965(c), *Health & Safety Code*, Proposer certifies that it is in compliance with the Manufacturer Responsibility and Consumer Convenience Computer Equipment Collection and Recovery Act set forth in Chapter 361, Subchapter Y, *Health & Safety Code* and the rules adopted by the Texas Commission on Environmental Quality under that Act as set forth in Title 30, Chapter 328, Subchapter I, *Texas Administrative Code*. Section 361.952(2), *Health & Safety Code* states that, for purposes of the Manufacturer Responsibility and Consumer Convenience Computer Equipment Collection and Recovery Act, the term “computer equipment” means a desktop or notebook computer and includes a computer monitor or other display device that does not contain a tuner.

2.14 Proposer should complete the following information:

If Proposer is a Corporation, then State of Incorporation: _____

If Proposer is a Corporation then Proposer’s Corporate Charter Number: _____

RFP No.: UTS/A-_____

NOTICE: WITH FEW EXCEPTIONS, INDIVIDUALS ARE ENTITLED ON REQUEST TO BE INFORMED ABOUT THE INFORMATION THAT GOVERNMENTAL BODIES OF THE STATE OF TEXAS COLLECT ABOUT SUCH INDIVIDUALS. UNDER SECTIONS 552.021 AND 552.023, GOVERNMENT CODE, INDIVIDUALS ARE ENTITLED TO RECEIVE AND REVIEW SUCH INFORMATION. UNDER SECTION 559.004, GOVERNMENT CODE, INDIVIDUALS ARE ENTITLED TO HAVE GOVERNMENTAL BODIES OF THE STATE OF TEXAS CORRECT INFORMATION ABOUT SUCH INDIVIDUALS THAT IS INCORRECT.

THIS EXECUTION OF OFFER MUST BE COMPLETED, SIGNED AND RETURNED WITH PROPOSER’S PROPOSAL. FAILURE TO COMPLETE, SIGN AND RETURN THIS EXECUTION OF OFFER WITH PROPOSER’S PROPOSAL MAY RESULT IN THE REJECTION OF THE PROPOSAL.

Submitted and Certified By:

(Proposer Institution’s Name)

(Signature of Duly Authorized Representative)

(Printed Name/Title)

(Date Signed)

(Proposer’s Street Address)

(City, State, Zip Code)

(Telephone Number)

(FAX Number)

APPENDIX TWO

UT SYSTEM POLICY ON UTILIZATION OF HISTORICALLY UNDERUTILIZED BUSINESSES

[Note: the Alliance should include the most recent edition, obtained from the UT System HUB Office, of the System's Policy on Utilization of Historically Underutilized Businesses.]

APPENDIX THREE

SAMPLE PREFERRED SUPPLIER AGREEMENT

for

COMPUTER-ASSISTED CODING AND CLINICAL DOCUMENT IMPROVEMENT SOFTWARE SOLUTION

between

THE UNIVERSITY OF TEXAS SYSTEM

and

University of Texas Agreement Number: _____

This Preferred Supplier Agreement, dated effective as of _____, 2017 (“**Effective Date**”), is made by and between **The University of Texas System** (“**UT System**”), a state agency and institution of higher education authorized under the laws of the State of Texas, and _____ (“**Preferred Supplier**”), a _____ corporation, Federal Tax Identification Number _____, with its principal offices located at _____.

This Agreement specifies the terms and conditions applicable to the supply by Preferred Supplier of a certain computer-assisted coding and clinical document improvement software solution to institutional participants, all as further described below.

Now, therefore, the parties, intending to be legally bound, agree as follows:

SECTION 1 – Definitions

“**Alliance**” means The University of Texas System Supply Chain Alliance, an in-house group purchasing organization established by UT System to conduct and coordinate strategic purchasing initiatives across UT System. UT System health and academic institutions are members of the Alliance. The Alliance is also affiliated with other institutions of higher education that have executed an Alliance affiliate agreement.

“**CAC and CDI Solution**” means the computer-assisted coding and clinical document improvement software solution, as described in **Rider 100**, Scope of Work.

“Institutional Participant” means an Alliance member or affiliated institution of higher education, as designated by the Alliance, that has executed an Institutional Participation Agreement in connection with this Agreement.

“Institutional Participation Agreement” or **“IPA”** means the Institutional Participation Agreement attached to this Agreement as **Rider 300** and incorporated for all purposes, to be executed by each Institutional Participant.

“UT Party” means, as applicable, UT System and/or the Institutional Participants.

“UT System Contract Administrator” means the Director of the Alliance, who will be the initial contact for all contractual concerns related to this Agreement.

SECTION 2 – Term:

The term of this Agreement will begin on the Effective Date and expire _____ [*initial fixed term of five years*], unless earlier terminated in accordance with the provisions of this Agreement. UT System will have the option to extend the term of this Agreement for an additional two-year period, upon written notice given to Preferred Supplier at least 90 days in advance of the renewal term.

The Parties acknowledge that, prior to any scheduled expiration of this Agreement, UT System may conduct a competitive procurement for the purchase of products and services comparable to the CAC and CDI Solution, for the period following expiration. If Preferred Supplier is not selected as the source for the succeeding period, Institutional Participants may need to transition over a period of time to purchasing the products and services primarily from the new source, rather than from Preferred Supplier. In such event, in order to allow for an orderly transition, Institutional Participants may wish to continue purchasing from Preferred Supplier for a limited period of time after the anticipated expiration of this Agreement. As a result, Preferred Supplier agrees that, notwithstanding any other provision of this Agreement:

- Preferred Supplier will make the CAC and CDI Solution available for purchase by Institutional Participants after _____, 20__ (or the anticipated expiration date under any extended term of this Agreement), for a transitional period of six months (the **“Transition Period”**), on the same terms and conditions set forth in this Agreement.
- The Administrative Fee provided for in **Rider 100** (Scope of Work) will apply to all products and services purchased hereunder during the Transition Period, and all related obligations of Preferred Supplier under this Agreement (such as to report sales volumes to UT System) will continue during such period.
- The Administrative Fee will apply to all future payments made by Institutional Participants for purchases of products and services initiated during this Agreement, including the Transition Period, even if such payments are made following expiration of this Agreement.
- All incentive / rebate trigger amounts that may be established in this Agreement for any calendar year will be pro-rated automatically on a straight-line basis, to account for partial calendar years during which this Agreement exists, including the Transition Period.

SECTION 3 – Amendment:

No change, modification, alteration, or waiver of this Agreement will be effective unless it is set forth in a written agreement that is signed by UT System and Preferred Supplier.

SECTION 4 – Performance by Preferred Supplier:

Preferred Supplier will perform its obligations under this Agreement to the satisfaction of UT Party. Time is of the essence in connection with this Agreement. UT Party will not have any obligation to accept late performance or waive timely performance by Preferred Supplier. Preferred Supplier will obtain, at its own cost, any and all approvals, licenses, filings, registrations and permits required by federal, state or local laws, regulations or ordinances, for its performance hereunder.

SECTION 5 – Family Code Child Support Certification:

Pursuant to Section 231.006, *Family Code*, Preferred Supplier certifies that it is not ineligible to receive the award of or payments under this Agreement and acknowledges that this Agreement may be terminated and payment may be withheld if this certification is inaccurate.

SECTION 6 – Eligibility Certifications:

Pursuant to Sections 2155.004 and 2155.006, *Texas Government Code*, Preferred Supplier certifies that it has not received compensation for participation in the preparation of the Request for Proposal related to this Agreement and is not ineligible to receive the award of or payments under this Agreement; and acknowledges that this Agreement may be terminated and payment withheld if these certifications are inaccurate.

SECTION 7 – Tax Certification:

If Preferred Supplier is a taxable entity as defined by Chapter 171, Texas Tax Code (“**Chapter 171**”), then Preferred Supplier certifies that it is not currently delinquent in the payment of any taxes due under Chapter 171, or that Preferred Supplier is exempt from the payment of those taxes, or that Preferred Supplier is an out-of-state taxable entity that is not subject to those taxes, whichever is applicable.

SECTION 8 – Payment of Debt or Delinquency to the State:

Pursuant to Sections 2107.008 and 2252.903, *Texas Government Code*, Preferred Supplier agrees that any payments owing to Preferred Supplier under this Agreement may be applied directly toward any debt or delinquency that Preferred Supplier owes the State of Texas or any agency of the State of Texas regardless of when it arises, until such debt or delinquency is paid in full.

SECTION 9 – Loss of Funding:

Performance by UT Party under this Agreement may be dependent upon the appropriation and allotment of funds by the Texas State Legislature (the “**Legislature**”) and/or allocation of funds by the Board of Regents of The University of Texas System (the “**Board**”). If the Legislature fails to appropriate or allot the necessary funds, or the Board fails to allocate the necessary funds, then UT Party will issue written notice to Preferred Supplier and UT Party may terminate this Agreement without further duty or obligation hereunder, other than payment for goods and services already delivered or provided to Institutional Participant. Preferred Supplier acknowledges that appropriation, allotment, and allocation of funds are beyond the control of UT Party.

SECTION 10 – Force Majeure:

None of the parties to this Agreement will be liable or responsible to another for any loss or damage or for any delays or failure to perform due to causes beyond its reasonable control including acts of God, strikes, epidemics, war, riots, flood, fire, sabotage, or any other circumstances of like character (“**force majeure occurrence**”). Provided, however, in the event of a force majeure occurrence, Preferred Supplier agrees to use its best efforts to mitigate the impact of the occurrence so that UT Party may continue to provide healthcare services during the occurrence.

SECTION 11 – Notices:

Except as otherwise provided in this Section, all notices, consents, approvals, demands, requests or other communications provided for or permitted to be given under any of the provisions of this Agreement will be in writing and will be sent via registered or certified mail, overnight courier, confirmed facsimile transmission (to the extent a facsimile number is set forth below), or email (to the extent an email address is set forth below), and notice will be deemed given (i) if mailed, when deposited, postage prepaid, in the United States mail, (ii) if sent by overnight courier, one business day after delivery to the courier, (iii) if sent by facsimile (to the extent a facsimile number is set forth below), when transmitted, and (iv) if sent by email (to the extent an email address is set forth below), when received:

If to UT System: Office of Business Affairs
The University of Texas System
201 W. 7th Street
Attn: Executive Vice Chancellor for Business Affairs
Austin, Texas 78701-2982
Fax: 512-499-4289
Email: Lloyd@utsystem.edu

with copy to: The University of Texas System Supply Chain Alliance
Mid Campus Building
7007 Bertner Ave., Suite 11.2339
Houston, TX 77030
Attention: Director
Fax : 713-792-8084
Email:jfjoshua@mdanderson.org

If to Preferred Supplier: _____

Attn: _____
Fax: _____
Email: _____

If to an Institutional Participant: The contact information for Institutional Participant as set forth in its IPA.

with copy to: Office of Business Affairs
The University of Texas System
201 W. 7th Street
Attn: Executive Vice Chancellor for Business Affairs

Austin, Texas 78701-2982
 Fax: 512-499-4289
 Email: LegalNotices@utsystem.edu

and

The University of Texas System Supply Chain Alliance
 Mid Campus Building
 7007 Bertner Ave., Suite 11.2339
 Houston, TX 77030
 Attention: Director
 Fax: 713-792-8084
 Email:jfjoshua@mdanderson.org

or such other person or address as may be given in writing by either party to the other in accordance with the aforesaid.

SECTION 12 – Preferred Supplier's Obligations.

12.1 Preferred Supplier represents that it has the knowledge, ability, skills, and resources to perform its obligations hereunder.

12.2 Preferred Supplier will maintain a staff of properly trained and experienced personnel to ensure satisfactory performance hereunder. Preferred Supplier will cause all persons connected with the Preferred Supplier directly in charge of performance hereunder to be duly registered and/or licensed under all applicable federal, state and municipal, laws, regulations, codes, ordinances and orders, including the rules, regulations and procedures promulgated by the Board or Institutional Participants, and those of any other body or authority having jurisdiction (collectively, “**Applicable Law**”).

12.3 Preferred Supplier represents, warrants and agrees that (a) it will use commercially reasonable efforts to perform hereunder, in a good and workmanlike manner and in accordance with commercially reasonable standards of Preferred Supplier’s profession or business, and (b) all good and services provided hereunder will be of the quality that prevails among similar businesses engaged in providing similar products and services in major United States urban areas under the same or similar circumstances.

12.4 Preferred Supplier warrants and agrees that the CAC and CDI Solution supplied under this Agreement will be accurate and free from any material defects. Preferred Supplier's performance hereunder will at no time be in any way diminished by reason of any approval by UT Party nor will Preferred Supplier be released from any liability by reason of any approval by UT Party, it being agreed that UT Party at all times is relying upon Preferred Supplier's skill and knowledge in performing hereunder. Preferred Supplier will, at its own cost, correct all material defects in the CAC and CDI Solution supplied under this Agreement, as soon as practical after Preferred Supplier becomes aware of the defects. If Preferred Supplier fails to correct such material defects within a reasonable time, then UT Party may correct the defect at Preferred Supplier’s expense. This remedy is in addition to, and not in substitution for, any other remedy for the defect that UT Party may have at law or in equity.

12.5 Preferred Supplier will call to the attention of UT Party, in writing, all information in any materials supplied to Preferred Supplier (by UT Party or any other party) that Preferred Supplier regards as unsuitable, improper or inaccurate in connection with the purposes for which the material is furnished.

12.6 Preferred Supplier represents that if (i) it is a corporation or limited liability company, then it is a corporation duly organized, validly existing and in good standing under the laws of the State of Texas, or

a foreign corporation or limited liability company duly authorized and in good standing to conduct business in the State of Texas, that it has all necessary corporate power and has received all necessary corporate approvals to execute and deliver this Agreement, and the individual executing this Agreement on behalf of Preferred Supplier has been duly authorized to act for and bind Preferred Supplier; or (ii) if it is a partnership, limited partnership, limited liability partnership, or limited liability company then it has all necessary power and has secured all necessary approvals to execute and deliver this Agreement and perform all its obligations hereunder, and the individual executing this Agreement on behalf of Preferred Supplier has been duly authorized to act for and bind Preferred Supplier.

12.7 Preferred Supplier will provide the warranties more particularly described in Section ___ of **Rider 100**, Scope of Work.

12.8 Preferred Supplier represents and warrants that neither the execution and delivery of this Agreement by Preferred Supplier nor Preferred Supplier's performance hereunder will (a) result in the violation of any provision [i] if a corporation, of Preferred Supplier's articles of incorporation or by-laws, [ii] if a limited liability company, of its articles of organization or regulations, or [iii] if a partnership, of any partnership agreement by which Preferred Supplier is bound; (b) result in the violation of any provision of any agreement by which Preferred Supplier is bound; or (c) to the best of Preferred Supplier's knowledge and belief, conflict with any order or decree of any court or other body or authority having jurisdiction.

SECTION 13 – State Auditor's Office:

Preferred Supplier understands that acceptance of funds under this Agreement constitutes acceptance of the authority of the Texas State Auditor's Office, or any successor agency (collectively, "**Auditor**"), to conduct an audit or investigation in connection with those funds pursuant to Sections 51.9335(c), 73.115(c) and 74.008(c), Education Code. Preferred Supplier agrees to cooperate with the Auditor in the conduct of the audit or investigation, including without limitation providing all records requested. Preferred Supplier will include this provision in all contracts with permitted subcontractors.

SECTION 14 – Governing Law:

Travis County, Texas, will be the proper place of venue for suit on or in respect of this Agreement. This Agreement and all of the rights and obligations of the parties thereto and all of the terms and conditions thereof will be construed, interpreted and applied in accordance with and governed by and enforced under the internal laws of the State of Texas.

SECTION 15 – Breach of Contract Claims:

15.1 To the extent that Chapter 2260, Texas Government Code, as it may be amended from time to time ("**Chapter 2260**"), is applicable to this Agreement and is not preempted by other Applicable Law, the dispute resolution process provided for in Chapter 2260 will be used, as further described herein, by UT Party and Preferred Supplier to attempt to resolve any claim for breach of contract made by Preferred Supplier:

15.1.1 Preferred Supplier's claims for breach of this Agreement that the parties cannot resolve pursuant to other provisions of this Agreement or in the ordinary course of business will be submitted to the negotiation process provided in subchapter B of Chapter 2260. To initiate the process, Preferred Supplier will submit written notice, as required by subchapter B of Chapter 2260, to UT Party in accordance with the notice provisions in this Agreement. Preferred Supplier's notice will specifically state that the provisions of subchapter B of Chapter 2260 are being invoked, the date and nature of the event giving rise to the claim, the specific contract provision that UT

Party allegedly breached, the amount of damages Preferred Supplier seeks, and the method used to calculate the damages. Compliance by Preferred Supplier with subchapter B of Chapter 2260 is a required prerequisite to Preferred Supplier's filing of a contested case proceeding under subchapter C of Chapter 2260. The UT Party's chief business officer, or another officer of UT Party as may be designated from time to time by UT Party by written notice thereof to Preferred Supplier in accordance with the notice provisions in this Agreement, will examine Preferred Supplier's claim and any counterclaim and negotiate with Preferred Supplier in an effort to resolve the claims.

15.1.2 If the parties are unable to resolve their disputes under Section 4.11.1.1, the contested case process provided in subchapter C of Chapter 2260 is Preferred Supplier's sole and exclusive process for seeking a remedy for any and all of Preferred Supplier's claims for breach of this Agreement by UT Party.

15.1.3 Compliance with the contested case process provided in subchapter C of Chapter 2260 is a required prerequisite to seeking consent to sue from the Legislature under Chapter 107, Civil Practices and Remedies Code. The parties hereto specifically agree that (i) neither the execution of this Agreement by UT Party nor any other conduct, action or inaction of any representative of UT Party relating to this Agreement constitutes or is intended to constitute a waiver of UT Party's or the state's sovereign immunity to suit and (ii) UT Party has not waived its right to seek redress in the courts.

15.2 The submission, processing and resolution of Preferred Supplier's claim is governed by the published rules adopted by the Texas Attorney General pursuant to Chapter 2260, as currently effective, thereafter enacted or subsequently amended.

15.3 UT Party and Preferred Supplier agree that any periods set forth in this Agreement for notice and cure of defaults are not waived.

SECTION 16 – Compliance with Law:

Preferred Supplier will perform hereunder in compliance with all Applicable Law. Preferred Supplier represents and warrants that neither Preferred Supplier nor any firm, corporation or institution represented by Preferred Supplier, nor anyone acting for such firm, corporation or institution, (1) has violated the antitrust laws of the State of Texas, Chapter 15, *Texas Business and Commerce Code*, or federal antitrust laws, or (2) has communicated directly or indirectly the content of Preferred Supplier's response to UT System's procurement solicitation to any competitor or any other person engaged in a similar line of business during the procurement process.

SECTION 17 – UT System's Right to Audit:

At any time during the term of this Agreement and for a period of four (4) years thereafter UT System or a duly authorized audit representative of UT System, or the State of Texas, at its expense and at reasonable times, reserves the right to audit Preferred Supplier's records and books directly related to charges paid for all products and services provided under this Agreement. The right will not extend to any fixed fee component of the charges or to any services performed more than one year prior to the date of request for review. In the event such an audit by UT System reveals any errors or overpayments by UT System which error or overpayment is confirmed by Preferred Supplier, Preferred Supplier will refund UT System the full amount of such overpayments within thirty (30) days of such audit findings, or

UT System, at its option, reserves the right to deduct such amounts owing to UT System from any payments due Preferred Supplier

SECTION 18 – Access to Documents:

To the extent applicable to this Agreement, in accordance with Section 1861(v)(1)(i) of the Social Security Act (42 U.S.C. 1395x) as amended, and the provisions of 42 CFR Section 420.300, et seq., Preferred Supplier agrees to allow, during and for a period of not less than four (4) years after this Agreement term, access to this Agreement and its books, documents, and records; and contracts between Preferred Supplier and its subcontractors or related organizations, including books, documents and records relating to same, by the Comptroller General of the United States, the U.S. Department of Health and Human Services and their duly authorized representatives.

SECTION 19 – Insurance:

19.1 Supplier, consistent with its status as an independent contractor, will carry and will cause its subcontractors to carry, at least the following insurance, with companies authorized to do insurance business in the State of Texas or eligible surplus lines insurers operating in accordance with the Texas Insurance Code, having an A.M. Best Rating of A-:VII or better, and in amounts not less than the following minimum limits of coverage:

19.1.1 Workers' Compensation Insurance with statutory limits, and Employer's Liability Insurance with limits of not less than \$1,000,000:

Employers Liability - Each Accident	\$1,000,000
Employers Liability - Each Employee	\$1,000,000
Employers Liability - Policy Limit	\$1,000,000

Workers' Compensation policy must include under Item 3.A. on the information page of the workers' compensation policy the state in which services are to be performed for Institutional Participant.

19.1.2 Commercial General Liability Insurance with limits of not less than:

Each Occurrence Limit	\$1,000,000
Damage to Rented Premises	\$ 300,000
Personal & Advertising Injury	\$1,000,000
General Aggregate	\$2,000,000
Products - Completed Operations Aggregate	\$2,000,000

The required Commercial General Liability policy will be issued on a form that insures Supplier's and subcontractor's liability for bodily injury (including death), property damage, personal and advertising injury assumed under the terms of this Agreement.

19.1.3 Business Auto Liability Insurance covering all owned, non-owned or hired automobiles, with limits of not less than \$1,000,000 single limit of liability per accident for Bodily Injury and Property Damage. Contractors transporting hazardous materials must provide the MCS-90 endorsement and CA9948 Broadened Pollution Liability endorsement on the Business Auto Liability policy. Policy limits must be in line with Federal requirements.

19.1.4 Umbrella/Excess Liability Insurance with limits of not less than \$2,000,000 per occurrence and aggregate with a deductible of no more than \$10,000, and will be excess over and at least as broad as the underlying coverage as required under **Sections 19.1.1** Employer's Liability; **19.1.2** Commercial General Liability; and **19.1.3** Business Auto Liability. Inception and expiration dates will be the same as the underlying policies. Drop-down coverage will be provided for reduction or exhaustion of underlying aggregate limits and will provide a duty to defend for any insured.

19.1.5 Directors' and Officers' Liability Insurance with limits of not less than \$1,000,000 per claim. The coverage will be continuous for the duration of this Agreement and for not less than twenty-four (24) months following the expiration or termination of this Agreement.

19.2 Supplier will deliver to Institutional Participant:

19.2.1 Evidence of insurance on a Texas Department of Insurance approved certificate form verifying the existence and actual limits of all required insurance policies after the execution and delivery of this Agreement and prior to the performance by Supplier under this Agreement. Additional evidence of insurance will be provided verifying the continued existence of all required insurance no later than thirty (30) days after each annual insurance policy renewal.

19.2.2 **All insurance policies** (with the exception of workers' compensation, employer's liability and professional liability) will be endorsed and name The Board of Regents of The University of Texas System and Institutional Participant as Additional Insureds for liability caused in whole or in part by Supplier's acts or omissions with respect to its on-going and completed operations up to the actual liability limits of the required insurance policies maintained by Supplier. The Commercial General Liability Additional Insured endorsement including on-going and completed operations coverage will be submitted with the Certificates of Insurance. Commercial General Liability and Business Auto Liability will be endorsed to provide primary and non-contributory coverage.

19.2.3 Supplier hereby waives all rights of subrogation against The Board of Regents of The University of Texas System and Institutional Participant. **All insurance policies** will be endorsed to provide a waiver of subrogation in favor of The Board of Regents of The University of Texas System, and Institutional Participant. No policy will be canceled until after thirty (30) days' unconditional written notice to Institutional Participant. **All insurance policies** will be endorsed to require the insurance carrier providing coverage to send notice to Institutional Participant thirty (30) days prior to any cancellation, material change, or non-renewal relating to any insurance policy required in this **Section 19**.

19.2.4 Supplier will pay any deductible or self-insured retention for any loss. Any self-insured retention must be declared to and approved by Institutional Participant prior to the performance by Supplier under this Agreement. All deductibles and self-insured retentions will be shown on the Certificates of Insurance.

19.2.5 Certificates of Insurance and Additional Insured Endorsements as required by this Agreement will be mailed, faxed, or emailed to the Institutional Participant contact identified in the Institutional Participation Agreement.

19.3 Supplier's or subcontractor's insurance will be primary to any insurance carried or self-insurance program established by Institutional Participant or The University of Texas System. Supplier's or

subcontractor's insurance will be kept in force until all obligations under this Agreement have been fully performed and accepted by Institutional Participant in writing, except as provided in this **Section 19.3**.

- 19.3.1** Directors and Officers Liability insurance coverage written on a claims-made basis requires Supplier to purchase an Extended Reporting Period Endorsement, effective for 24 months after the expiration or cancellation of this policy.

19.4 Cyber Liability Insurance

Preferred Supplier will maintain Cyber Liability insurance with limits of not less than \$6 million for each wrongful act, that provides coverage for:

- Liability for security or privacy breaches, including loss or unauthorized access to University Records, whether by Preferred Supplier or any of subcontractor or cloud service provider used by Preferred Supplier;
 - Costs associated with a privacy breach, including notification of affected individuals, customer support, crises management / public relations consulting, legal services of a privacy attorney, credit monitoring and identity fraud resolution services for affected individuals;
 - Expenses related to regulatory compliance, government investigations, fines, fees assessments and penalties;
- Costs of restoring, updating or replacing data;
- Liability losses connected to network security, privacy, and media liability;
- "Insured versus insured" exclusion prohibited.

Certificates of Insurance and Additional Insured Endorsements reflecting applicable limits, sub-limits, self-insured retentions and deductibles will be provided to UT System upon request. Preferred Supplier will be responsible for any and all deductibles, self-insured retentions or waiting period requirements. If the Cyber Liability policy is written on a claims-made basis, the retroactive date should be prior to the commencement of this Agreement. If the Cyber Liability policy is written on a claims-made basis and non-renewed at any time during and up until expiration or termination of this Agreement, Preferred Supplier will purchase an Extended Reporting Period for at least a two year period. UT Parties and The Board of Regents of UT System will be named as an additional insureds and UT Parties will be provided with a waiver of subrogation, both by endorsement to the required Cyber Liability policy.

SECTION 20 – Indemnification:

20.1 TO THE FULLEST EXTENT PERMITTED BY LAW, PREFERRED SUPPLIER WILL AND DOES HEREBY AGREE TO INDEMNIFY, PROTECT, DEFEND WITH COUNSEL APPROVED BY UT PARTY, AND HOLD HARMLESS UT PARTY AND ITS AFFILIATED ENTERPRISES, REGENTS, OFFICERS, DIRECTORS, ATTORNEYS, EMPLOYEES, REPRESENTATIVES AND AGENTS (COLLECTIVELY "**INDEMNITEES**") FROM AND AGAINST ALL DAMAGES, LOSSES, LIENS, CAUSES OF ACTION, SUITS, JUDGMENTS, EXPENSES, AND OTHER CLAIMS OF ANY NATURE, KIND, OR DESCRIPTION, INCLUDING REASONABLE ATTORNEYS' FEES INCURRED IN INVESTIGATING, DEFENDING OR SETTLING ANY OF THE FOREGOING (COLLECTIVELY "**CLAIMS**") BY ANY PERSON OR ENTITY, ARISING OUT OF, CAUSED BY, OR RESULTING FROM PREFERRED SUPPLIER'S PERFORMANCE UNDER OR BREACH OF THIS AGREEMENT, AND THAT ARE CAUSED IN WHOLE OR IN PART BY ANY NEGLIGENT ACT, NEGLIGENT OMISSION OR WILLFUL MISCONDUCT OF PREFERRED SUPPLIER, ANYONE DIRECTLY EMPLOYED BY PREFERRED SUPPLIER OR ANYONE FOR WHOSE ACTS PREFERRED SUPPLIER MAY BE LIABLE. THE PROVISIONS OF THIS SECTION WILL NOT BE CONSTRUED TO ELIMINATE OR REDUCE ANY

OTHER INDEMNIFICATION OR RIGHT WHICH ANY INDEMNITEE HAS BY LAW OR EQUITY. ALL PARTIES WILL BE ENTITLED TO BE REPRESENTED BY COUNSEL AT THEIR OWN EXPENSE.

20.2 IN ADDITION, PREFERRED SUPPLIER WILL AND DOES HEREBY AGREE TO INDEMNIFY, PROTECT, DEFEND WITH COUNSEL APPROVED BY UT PARTY, AND HOLD HARMLESS INDEMNITEES FROM AND AGAINST ALL CLAIMS ARISING FROM INFRINGEMENT OR ALLEGED INFRINGEMENT OF ANY PATENT, COPYRIGHT, TRADEMARK OR OTHER PROPRIETARY INTEREST ARISING BY OR OUT OF THE PERFORMANCE OF SERVICES OR THE PROVISION OF GOODS BY PREFERRED SUPPLIER, OR THE USE BY INDEMNITEES, AT THE DIRECTION OF PREFERRED SUPPLIER, OF ANY ARTICLE OR MATERIAL; PROVIDED, THAT, UPON BECOMING AWARE OF A SUIT OR THREAT OF SUIT FOR INFRINGEMENT, UT PARTIES WILL PROMPTLY NOTIFY PREFERRED SUPPLIER AND PREFERRED SUPPLIER WILL BE GIVEN THE OPPORTUNITY TO NEGOTIATE A SETTLEMENT. IN THE EVENT OF LITIGATION, UT PARTIES AGREE TO REASONABLY COOPERATE WITH PREFERRED SUPPLIER. ALL PARTIES WILL BE ENTITLED TO BE REPRESENTED BY COUNSEL AT THEIR OWN EXPENSE.

SECTION 21 – Ethics Matters; No Financial Interest:

Preferred Supplier and its employees, agents, representatives and subcontractors have read and understand UT System's Conflicts of Interest Policy available at <http://www.utsystem.edu/policy/policies/int160.html>, UT System's Standards of Conduct Guide available at <http://www.utsystem.edu/systemcompliance/>, and applicable state ethics laws and rules available at <http://www.utsystem.edu/ogc/ethics>. Neither Preferred Supplier nor its employees, agents, representatives or subcontractors will assist or cause UT Party's employees to violate UT System's Conflicts of Interest Policy, provisions described by UT System's Standards of Conduct Guide, or applicable state ethics laws or rules. Preferred Supplier represents and warrants that no member of the Board has a direct or indirect financial interest in the transaction that is the subject of this Agreement.

SECTION 22 – Assignment of Overcharge Claims:

Preferred Supplier hereby assigns to UT Party any and all claims for overcharges associated with this Agreement arising under the antitrust laws of the United States, 15 U.S.C.A., Sec. 1 et seq., or arising under the antitrust laws of the State of Texas, Business and Commerce Code, Sec. 15.01, et seq.

SECTION 23 – Assignment and Subcontracting:

Except as specifically provided in any Historically Underutilized Business Subcontracting Plan (“**HSP**”) attached as **Rider 500** and incorporated for all purposes, neither Preferred Supplier's interest in this Agreement, its duties and obligations under this Agreement nor fees due to Preferred Supplier under this Agreement may be subcontracted, assigned, delegated or otherwise transferred to a third party, in whole or in part, and any attempt to do so will (1) not be binding on UT Party; and (2) be a breach of this Agreement for which Preferred Supplier will be subject to any remedial actions provided by Texas law, including Chapter 2161, Texas Government Code, and 34 Texas Administrative Code (“**TAC**”) Section 20.14. UT Party may report nonperformance under this Agreement to the Texas Procurement and Support Services Division of the Texas Comptroller of Public Accounts or any successor agency (collectively, “**TPSS**”) in accordance with 34 TAC Chapter 20, Subchapter F, Vendor Performance and Debarment Program. The benefits and burdens of this Agreement are, however, assignable by UT Party.

SECTION 24 – Historically Underutilized Business Subcontracting Plan:

24.1 If an HSP is attached to this Agreement, Preferred Supplier agrees to use good faith efforts to subcontract the scope of work in accordance with the HSP. Preferred Supplier agrees to maintain business records documenting its compliance with the HSP and to submit a monthly compliance report to UT Party in the format required by the TPSS. Submission of compliance reports will be required as a condition for payment under this Agreement. If UT Party determines that Preferred Supplier has failed to subcontract as set out in the HSP, UT Party will notify Preferred Supplier of any deficiencies and give Preferred Supplier an opportunity to submit documentation and explain why the failure to comply with the HSP should not be attributed to a lack of good faith effort by Preferred Supplier. If UT Party determines that Preferred Supplier failed to implement the HSP in good faith, UT Party, in addition to any other remedies, may report nonperformance to the TPSS in accordance with 34 TAC Chapter 20, Subchapter F, Vendor Performance and Debarment Program. UT Party may also revoke this Agreement for breach and make a claim against the Preferred Supplier.

24.2 If at any time during the term of this Agreement, Preferred Supplier desires to change the HSP, before the proposed changes become effective (1) Preferred Supplier must comply with 34 TAC Section 20.14; (2) the changes must be reviewed and approved by UT Party; and (3) if UT Party approves changes to the HSP, this Agreement must be amended in accordance with Section 2.5.3 to replace the HSP with the revised subcontracting plan.

24.3 If UT Party expands the scope of this Agreement through a change order or any other amendment, UT Party will determine if the additional scope of work contains probable subcontracting opportunities not identified in the initial solicitation for the scope of work. If UT Party determines additional probable subcontracting opportunities exist, Preferred Supplier will submit an amended subcontracting plan covering those opportunities. The amended subcontracting plan must comply with the provisions of 34 TAC Section 20.14 before (1) this Agreement may be amended to include the additional scope of work; or (2) Preferred Supplier may perform the additional scope of work. If Preferred Supplier subcontracts any of the additional subcontracting opportunities identified by UT Party without prior authorization and without complying with 34 TAC Section 20.14, Preferred Supplier will be deemed to be in breach of this Agreement under Section 4.19 and will be subject to any remedial actions provided by Texas law including Chapter 2161, Texas Government Code, and 34 TAC Section 20.14. UT Party may report nonperformance under this Agreement to the TPSS in accordance with 34 TAC Chapter 20, Subchapter F, Vendor Performance and Debarment Program.

SECTION 25 – Payment and Invoicing:

Institutional Participant agrees to pay fees due under this Agreement in accordance with the Texas Prompt Payment Act (“Act”), Chapter 2251, *Texas Government Code*. Pursuant to the Act, payment will be deemed late on the 31st day after the later of: 1) the date the performance is completed, or 2) the date Institutional Participant receives an invoice for the related goods or services. Institutional Participant will be responsible for interest on overdue payments equal to the sum of: 1) one percent, plus 2) the prime rate as published in the Wall Street Journal on the first day of July of the preceding fiscal year (Institutional Participant’s fiscal year begins September 1) that does not fall on a Saturday or Sunday. Institutional Participant will have the right to verify the details set forth in Preferred Supplier’s invoices and supporting documentation, either before or after payment, by (a) inspecting the books and records of Preferred Supplier at mutually convenient times; (b) examining any reports with respect to the related goods or services; and (c) other reasonable action.

Section 51.012, *Texas Education Code*, authorizes UT Party to make any payment through electronic funds transfer methods. Preferred Supplier agrees to receive payments from UT Party through electronic

funds transfer methods, including the automated clearing house system (also known as ACH). Prior to the first payment under this Agreement, UT Party will confirm Preferred Supplier's banking information. Any changes to Preferred Supplier's banking information will be communicated by Preferred Supplier to UT Party in writing at least thirty (30) days in advance of the effective date of the change.

SECTION 26 – Limitations:

The parties to this Agreement are aware that there are constitutional and statutory limitations on the authority of UT Party (a state agency) to enter into certain terms and conditions of this Agreement, including, but not limited to, those terms and conditions relating to disclaimers and limitations of warranties; disclaimers and limitations of liability for damages; waivers, disclaimers and limitations of legal rights, remedies, requirements and processes; limitations of periods to bring legal action; granting control of litigation or settlement to another party; liability for acts or omissions of third parties; payment of attorneys' fees; dispute resolution; indemnities; and confidentiality (collectively, the "**Limitations**"), and terms and conditions related to the Limitations will not be binding on UT Party except to the extent authorized by the laws and Constitution of the State of Texas.

SECTION 27 – Affirmative Action:

Preferred Supplier agrees that either a written copy of Preferred Supplier's Civil Rights "Affirmative Action Compliance Program" or, if Preferred Supplier is not required to have such a written program, the reason Preferred Supplier is not subject to such requirement, is attached to this Agreement as **Rider 600** and incorporated for all purposes.

SECTION 28 – OSHA Compliance:

Preferred Supplier represents and warrants that all products and services furnished under this Agreement meet or exceed the safety standards established and promulgated under the Federal Occupational Safety and Health Law (Public Law 91-598) and its regulations in effect or proposed as of the date of this Agreement.

SECTION 29 - Certifications of Nonsegregated Facilities and Equal Employment Opportunities Compliance:

Preferred Supplier certifies that, except for restrooms and wash rooms and one (1) or more lactation rooms each of which is segregated on the basis of sex: (1) it does not maintain or provide for its employees any segregated facilities at any of its establishments and that it does not permit its employees to perform their services at any location under its control where segregated facilities are maintained; (2) it will not maintain or provide for its employees any segregated facilities at any of its establishments; and (3) it will not permit its employees to perform their services at any location under its control where segregated facilities are maintained. Preferred Supplier agrees that a breach of this certification is a violation of the Equal Opportunity clause in this Agreement. The term "**segregated facilities**" means any waiting rooms, work area, rest rooms and wash rooms, entertainment areas, transportation, or housing facilities provided for employees which are segregated by explicit directive or are in fact segregated on the basis of race, color, religion, sex, or national origin, because of habit, local custom, or otherwise. Preferred Supplier further agrees that, except where it has contracts prior to the award with subcontractors exceeding \$10,000.00 which are not exempt from the provisions of the Equal Opportunity clause, Preferred Supplier will retain such certifications for each one of its subcontractors in Preferred Supplier's files, and that it will forward the following notice to all proposed subcontractors (except where the proposed subcontractors have submitted identical certifications for specific time periods):

NOTICE TO PROSPECTIVE SUBCONTRACTORS OF REQUIREMENTS FOR CERTIFICATIONS OF NONSEGREGATED FACILITIES - A Certification on Nonsegregated Facilities must be submitted prior to the award of any subcontract exceeding \$10,000.00 which is not exempt from the provisions of the Equal Opportunity clause. The certification may be submitted either for each subcontract or for all subcontracts during a period (i.e. quarterly, semiannually, or annually).

Preferred Supplier understands that the penalty for making false statements regarding the subject matters of this Section is prescribed in 18 U.S.C. 1001.

SECTION 30 – Premises Rules:

If this Agreement requires Preferred Supplier's presence on UT Party's premises or in UT Party's facilities, Preferred Supplier agrees to cause its representatives, agents, employees and permitted subcontractors (if any) to become aware of, fully informed about, and in full compliance with all applicable UT Party rules and policies, including, without limitation, those relative to personal health, security, environmental quality, safety, fire prevention, noise, smoking, and access restrictions; consideration for students, patients and their families as well as employees; parking; and security.

SECTION 31 – Debarment:

Preferred Supplier confirms that neither Preferred Supplier nor its Principals are suspended, debarred, proposed for debarment, declared ineligible, or voluntarily excluded from the award of contracts from United States ("U.S.") federal government procurement or nonprocurement programs, or are listed in the List of Parties Excluded from Federal Procurement or Nonprocurement Programs issued by the U.S. General Services Administration. "Principals" means officers, directors, owners, partners, and persons having primary management or supervisory responsibilities within a business entity (e.g. general manager, plant manager, head of a subsidiary, division or business segment, and similar positions). Preferred Supplier will provide immediate written notification to UT Party if, at any time prior to award, Preferred Supplier learns that this certification was erroneous when submitted or has become erroneous by reason of changed circumstances. This certification is a material representation of fact upon which reliance will be placed when UT Party executes this Agreement. If it is later determined that Preferred Supplier knowingly rendered an erroneous certification, in addition to the other remedies available to UT Party, UT Party may terminate this Agreement for default by Preferred Supplier.

SECTION 32 – Office of Inspector General Certification:

Preferred Supplier acknowledges that UT Party is prohibited by federal regulations from allowing any employee, subcontractor, or agent of Preferred Supplier to work on site at UT Party premises or facilities if that individual is not eligible to work on federal healthcare programs such as Medicare, Medicaid, or other similar federal programs. Therefore, Preferred Supplier will not assign any employee, subcontractor or agent that appears on the List of Excluded Individuals issued by the United States Office of the Inspector General ("OIG") to work on site at UT Party premises or facilities. Preferred Supplier will perform an OIG sanctions check quarterly on each of its employees, subcontractors and agents during the time such employees, subcontractors and agents are assigned to work on site at UT Party premises or facilities. Preferred Supplier acknowledges that UT Party will require immediate removal of any employee, subcontractor or agent of Preferred Supplier assigned to work at UT Party premises or facilities if such employee, subcontractor or agent is found to be on the OIG's List of Excluded Individuals. The OIG's List of Excluded Individuals may be accessed through the following Internet website: <http://www.dhhs.gov/progorg/oig/cumsan/index.htm>.

SECTION 33 – Termination:

33.1 In the event of a material failure by either party to perform in accordance with the terms of this Agreement (“**default**”), the other, non-defaulting party may terminate this Agreement upon thirty (30) days’ written notice of termination setting forth the nature of the material failure. The termination will not be effective if the material failure is fully cured prior to the end of the 30-day period. No such termination will relieve the defaulting party from liability for the underlying default or breach of this Agreement or any other act or omission.

33.2 UT System may terminate this Agreement, without cause, upon written notice to Preferred Supplier; provided, however, this Agreement will not terminate until the later of (1) 90 days after receipt of notice of termination, or (2) the date that performance is complete under all purchase orders issued by Institutional Participant to Preferred Supplier prior to receipt of notice of termination. Institutional Participant may not issue any purchase orders after receipt of notice of termination. Termination of this Agreement will not relieve any party from liability for its default under or breach of this Agreement or any other act or omission of that party. In the event that this Agreement is terminated, then within thirty (30) days after termination, Preferred Supplier will reimburse UT Party for all fees paid by UT Party to Preferred Supplier that were (a) not earned by Preferred Supplier prior to termination, or (b) for goods or services that UT Party did not receive from Preferred Supplier prior to termination.

33.3 UT System or Institutional Participant may terminate an IPA, without cause, upon written notice to Preferred Supplier; provided, however, the IPA will not terminate until the later of (1) thirty (30) days after receipt of notice of termination, or (2) the date that performance is complete under all purchase orders issued by Institutional Participant to Preferred Supplier prior to receipt of notice of termination. Institutional Participant may not issue any purchase orders after receipt of notice of termination. Termination of an IPA will not relieve any party from liability for its default under or breach of the IPA or any other act or omission of that party. In the event that an IPA is terminated, then within thirty (30) days after termination, Preferred Supplier will reimburse Institutional Participant for all fees paid by Institutional Participant to Preferred Supplier that were (a) not earned by Preferred Supplier prior to termination, or (b) for goods or services that Institutional Participant did not receive from Preferred Supplier prior to termination.

33.4 If Preferred Supplier undergoes a Change of Control, UT System may, in its sole discretion, terminate this Agreement upon written notice to Preferred Supplier, effective immediately or, at UT System’s option, upon conclusion of a reasonable transition period. For purposes of this Section, “**Change of Control**” means the sale of all or substantially all the assets of Preferred Supplier; any merger, consolidation or acquisition of Preferred Supplier with, by or into another corporation, entity or person; or any change in the ownership of more than fifty percent (50%) of the voting capital stock of Preferred Supplier in one or more related transactions. Upon any such termination of this Agreement, no UT Party will have any further liability or obligation to Preferred Supplier, or to any successor, employee, agent or representative of Preferred Supplier, except to pay for services actually rendered to the effective date of termination. If UT System provides any such notice of termination, Preferred Supplier and UT System will work together diligently to bring to a logical and orderly conclusion the business arrangements that are the subject of this Agreement.

SECTION 34 – Authority:

The individuals executing this Agreement on behalf of each party have been duly authorized to act for and bind the party they represent.

SECTION 35 – Survival of Provisions:

Expiration or termination of this Agreement will not relieve either party of any obligations under this Agreement that by their nature survive such expiration or termination.

SECTION 36 – Confidentiality; Press Releases; Public Information:

36.1 Confidentiality and Safeguarding of UT Party Records. Under this Agreement, Preferred Supplier may (1) create, (2) receive from or on behalf of UT Party, or (3) have access to, UT Party's records or record systems (collectively, "**UT Party Records**"). Among other things, UT Party Records may contain social security numbers, credit card numbers, or data protected or made confidential or sensitive by applicable federal, state and local, laws, regulations, and ordinances. Preferred Supplier represents, warrants, and agrees that it will: (1) hold UT Party Records in strict confidence and will not use or disclose UT Party Records except as (a) permitted or required by this Agreement, (b) required by law, or (c) otherwise authorized by UT Party in writing; (2) safeguard UT Party Records according to reasonable administrative, physical and technical standards commonly in effect within Preferred Supplier's industry and that are no less rigorous than the standards by which Preferred Supplier protects its own confidential information; (3) continually monitor its operations in accordance with reasonable standards commonly in effect within Preferred Supplier's industry and take any action necessary to ensure that UT Party Records are safeguarded and that the confidentiality of UT Party Records is maintained in accordance with all applicable federal, state and local, laws, regulations, and ordinances, and the terms of this Agreement; and (4) comply with UT Party's rules, policies, and procedures regarding access to and use of UT Party's computer systems. At the request of UT Party, Preferred Supplier will provide UT Party with a written summary of the procedures Preferred Supplier uses to safeguard and maintain the confidentiality of UT Party Records.

36.2 Notice of Impermissible Use. If an impermissible use or disclosure of any UT Party Records occurs, Preferred Supplier will provide written notice to UT Party within one (1) business day after Preferred Supplier's discovery of that use or disclosure. Preferred Supplier will promptly provide UT Party with all information requested by UT Party regarding the impermissible use or disclosure.

36.3 Return of UT Party Records. Preferred Supplier agrees that within thirty (30) days after the expiration or termination of this Agreement, for any reason, all UT Party Records created or received from or on behalf of UT Party will be (1) returned to UT Party, with no copies retained by Preferred Supplier; or (2) if return is not feasible, destroyed. Twenty (20) days before destruction of any UT Party Records, Preferred Supplier will provide UT Party with written notice of Preferred Supplier's intent to destroy UT Party Records. Within five (5) days after destruction, Preferred Supplier will confirm to UT Party in writing the destruction of UT Party Records.

36.3 Disclosure. If Preferred Supplier discloses any UT Party Records to a subcontractor or agent, Preferred Supplier will require the subcontractor or agent to comply with the same restrictions and obligations as are imposed on Preferred Supplier by this **Section 36**.

36.4 Press Releases. Preferred Supplier will not make any press releases, public statements, or advertisement referring to this Agreement, or release any information relative to this Agreement for publication, advertisement or any other purpose, without the prior written approval of UT Party.

36.5 Public Information. UT Party strictly adheres to all statutes, court decisions and the opinions of the Texas Attorney General with respect to disclosure of public information under the *Texas Public Information Act* ("**TPIA**"), Chapter 552, *Texas Government Code*. In accordance with Section 552.002 of TPIA and Section 2252.907, *Texas Government Code*, and at no additional charge to UT Party, Preferred Supplier will make any information created or exchanged with UT Party pursuant to this Agreement (and

not otherwise exempt from disclosure under TPIA) available in a format reasonably requested by UT Party that is accessible by the public.

36.6 Termination. In addition to any other termination rights set forth in this Agreement, and any other rights at law or equity, if UT Party reasonably determines that Preferred Supplier has breached any of the restrictions or obligations set forth in this Section, UT Party may immediately terminate this Agreement without notice or opportunity to cure.

36.7 Duration. The restrictions and obligations under this Section will survive expiration or termination of this Agreement for any reason.

SECTION 37 – FERPA Compliance:

37.1 The Parties agree that UT Party Records, as referenced in **Section 36**, that Preferred Supplier may (1) create, (2) receive from or on behalf of UT Party, or (3) have access to, may include records that (a) are subject to the Federal Education Rights and Privacy Act (“**FERPA**”) or (b) contain personally identifiable information from “Education Records” as defined by and subject to FERPA (collectively, “**FERPA Records**”). FERPA Records include all such data in any form whatsoever, including electronic, written and machine readable form. If any specific use of Preferred Supplier’s CAC and CDI Solution under this Agreement will involve Preferred Supplier’s access to FERPA Records or personally identifiable information of any kind, Preferred Supplier and UT Party will document such access in writing.

37.2 With respect to all UT Party Records that also constitute FERPA Records, Preferred Supplier is designated as a UT Party Official with a legitimate educational interest in and with respect to such FERPA Records, only to the extent to which Preferred Supplier is required to create, receive or maintain FERPA Records to carry out this Agreement.

37.3 In addition to all of the other obligations imposed upon Preferred Supplier with regard to UT Party Records pursuant to this Agreement, Preferred Supplier understands and agrees to abide by the following terms and conditions as to all FERPA Records, without reservation. To the extent that this **Section 37** conflicts with any other terms of this Agreement, this **Section 37** will prevail.

37.3.1 Prohibition on Unauthorized Use or Disclosure of FERPA Records: Preferred Supplier will hold FERPA Records in strict confidence. Preferred Supplier will not use or disclose FERPA Records received from or on behalf of UT System, except as permitted or required by this Agreement.

37.3.2 Maintenance of the Security of FERPA Records: Preferred Supplier will use administrative, technical and physical security measures, including secure encryption in the case of electronically maintained or transmitted FERPA Records, approved by UT Party that are at least as stringent as the requirements of UT System’s Information and Resource Use & Security Policy, UTS165 (ref. <http://www.utsystem.edu/bor/procedures/policy/policies/uts165.html>), to preserve the confidentiality and security of all FERPA Records received from, or on behalf of UT Party, its students or any third party pursuant to this Agreement.

37.3.3 Reporting of Unauthorized Disclosures or Misuse of FERPA Records and Information: Preferred Supplier, within one (1) day after discovery, will report to UT System any use or disclosure of FERPA Records not authorized by this Agreement. Preferred Supplier’s report will identify: (i) the nature of the unauthorized use or disclosure, (ii) the FERPA Records used or disclosed, (iii) who made the unauthorized use

- or received the unauthorized disclosure, (iv) what Preferred Supplier has done or will do to mitigate any deleterious effect of the unauthorized use or disclosure, and (v) what corrective action Preferred Supplier has taken or will take to prevent future similar unauthorized use or disclosure. Preferred Supplier will provide such other information, including written reports, as reasonably requested by UT System. For purposes of this **Section 37.3.3**, an unauthorized disclosure or use includes any access or use of an “Education Record” (as defined by FERPA) by an Preferred Supplier employee or agent that the employee or agent does not require to perform services or access by any employee or agent that does not involve the provision of services.
- 37.3.4 Right to Audit:** If UT Party has a reasonable basis to believe that Preferred Supplier is not in compliance with the terms of this **Section 37**, UT System may audit Preferred Supplier’s compliance with FERPA as such compliance relates to FERPA Records maintained by Preferred Supplier.
- 37.3.5 Five-Year Exclusion for Improper Disclosure of Education Records.** Under the federal regulations implementing FERPA, improper disclosure or redisclosure of personally identifiable information from “Education Records” (as defined by FERPA) by Preferred Supplier or its employees or agents may result in Preferred Supplier’s complete exclusion from eligibility to contract with UT Party for at least five (5) years.
- 37.3.6 Secure Destruction of FERPA Records.** Preferred Supplier agrees that no later than 30 days after expiration or termination of this Agreement for any reason, or within thirty (30) days after UT System’s written request, Preferred Supplier will halt all access, use, creation, or processing of FERPA Records and will Securely Destroy all FERPA Records, including any copies created by Preferred Supplier or any subcontractor; and Preferred Supplier will certify in writing to UT System that all FERPA records have been Securely Destroyed. “**Securely Destroy**” means shredding, erasing or otherwise modifying a record so as to make it unreadable or indecipherable.
- 37.3.7 Disclosure.** Preferred Supplier will restrict disclosure of FERPA Records solely to those employees, subcontractors or agents of Preferred Supplier that have a need to access the FERPA Records in order for Preferred Supplier to perform its obligations under this Agreement. If Preferred Supplier discloses any FERPA Records to a contractor or agent, Preferred Supplier will require the subcontractor or agent to comply with restrictions and obligations that align with the restrictions and obligations imposed on Preferred Supplier by this Agreement, including requiring each subcontractor or agent to agree to the same restrictions and obligations in writing.
- 37.3.8 Termination.** Preferred Supplier’s duties under this **Section 37** will survive expiration or termination of this Agreement as to any FERPA Records that have not been Securely Destroyed by Preferred Supplier as required by **Section 37.3.6**.
- 37.3.9 Breach.** In the event of a breach, threatened breach or intended breach of this **Section 37** by Preferred Supplier, UT Party (in addition to any other rights and remedies available to UT Party at law or in equity) will be entitled to preliminary and final injunctions, enjoining and restraining such breach, threatened breach or intended breach.

SECTION 38 – Tax Exemption

UT Party may be an agency of the State of Texas or other non-profit entity and may be exempt from certain state taxes under various exemption statutes, including Texas Sales & Use Tax in accordance with Section 151.309, *Tax Code*, and Title 34 *Texas Administrative Code* (“**TAC**”) Section 3.322. Notwithstanding its exemption from certain state taxes, UT Party will be responsible for any taxes (except corporate income taxes, franchise taxes, and taxes on Preferred Supplier’s personnel, including personal income tax and social security taxes) from which UT Party is not exempt. Preferred Supplier will provide reasonable cooperation and assistance to UT Party in obtaining any tax exemptions to which UT Party is entitled.

SECTION 39 – Undocumented Workers:

The *Immigration and Nationality Act* (8 *United States Code* 1324a) (“**Immigration Act**”) makes it unlawful for an employer to hire or continue employment of undocumented workers. The United States Immigration and Customs Enforcement Service has established the Form I-9 Employment Eligibility Verification Form (“**I-9 Form**”) as the document to be used for employment eligibility verification (8 *Code of Federal Regulations* 274a). Among other things, Preferred Supplier is required to: (1) have all employees complete and sign the I-9 Form certifying that they are eligible for employment; (2) examine verification documents required by the I-9 Form to be presented by the employee and ensure the documents appear to be genuine and related to the individual; (3) record information about the documents on the I-9 Form, and complete the certification portion of the I-9 Form; and (4) retain the I-9 Form as required by law. It is illegal to discriminate against any individual (other than a citizen of another country who is not authorized to work in the United States) in hiring, discharging, or recruiting because of that individual's national origin or citizenship status. If Preferred Supplier employs unauthorized workers during performance of this Agreement in violation of the Immigration Act then, in addition to other remedies or penalties prescribed by law, UT Party may terminate this Agreement in accordance with Section 4.31. Preferred Supplier represents and warrants that it is in compliance with and agrees that it will remain in compliance with the provisions of the Immigration Act.

SECTION 40 – No Required Quantities or Minimum Amounts:

Preferred Supplier understands that this Agreement does not obligate UT Party to purchase any specific amount of goods or services from Preferred Supplier under this Agreement or otherwise. For example, this Agreement does not establish any minimum quantity or minimum dollar amount of goods or services that UT Party must purchase from Preferred Supplier during the term of this Agreement.

SECTION 41 – Access by Individuals with Disabilities:

Preferred Supplier represents and warrants (“**EIR Accessibility Warranty**”) that the electronic and information resources and all associated information, documentation, and support that it provides under this Agreement (collectively, the “**EIRs**”) comply with the applicable requirements set forth in Title 1, Chapter 213, *Texas Administrative Code*, and Title 1, Chapter 206, Rule §206.70, *Texas Administrative Code* (as authorized by Chapter 2054, Subchapter M, *Government Code*). To the extent Preferred Supplier becomes aware that the EIRs, or any portion thereof, do not comply with the EIR Accessibility Warranty, then Preferred Supplier represents and warrants that it will, at no cost to UT Party, either (1) perform all necessary remediation to make the EIRs satisfy the EIR Accessibility Warranty or (2) replace the EIRs with new EIRs that satisfy the EIR Accessibility Warranty. In the event Preferred Supplier fails or is unable to do so, UT Party may terminate this Agreement, and Preferred Supplier will refund to UT Party all amounts UT Party has paid under this Agreement within thirty (30) days after the termination date.

SECTION 42 – Background Checks:

Preferred Supplier will not knowingly assign any individual to provide services on a UT Party's campus if the individual has a history of criminal conduct unacceptable for a university campus or healthcare center, including violent or sexual offenses. If requested by any UT Party to comply with its policy, Preferred Supplier will perform appropriate criminal background checks on each individual who will provide such services on the UT Party's campus.

SECTION 43 – Business Associate Agreements:

Preferred Supplier acknowledges that the Institutional Participants may be subject to the Health Insurance Portability and Accountability Act of 1996, Public 104-191 ("HIPAA") as amended by the Health Information Technology for Economic and Clinical Health, Title XII of Division A and Title IV of Division B of the American Recovery and Reinvestment Act of 2009 (Public Law 111-5) ("HITECH Act"). UT System and the respective Institutional Participants are separate entities for purposes of HIPAA. Therefore, Preferred Supplier will enter into a separate HIPAA Business Associate Agreement ("BAA") with each Institutional Participant, as applicable, prior to accessing any Protected Health Information, as that term is defined by HIPAA, as part of the services to be provided under this Agreement.

SECTION 44 – Entire Agreement; Modifications:

This Agreement supersedes all prior agreements, written or oral, between Preferred Supplier and UT System and will constitute the entire agreement and understanding between the parties with respect to the subject matter of this Agreement. This Agreement and each of its provisions will be binding upon the parties and may not be waived, modified, amended or altered except by a writing signed by UT System and Preferred Supplier.

SECTION 45 – Captions:

The captions of sections and subsections in this Agreement are for convenience only and will not be considered or referred to in resolving questions of interpretation or construction.

SECTION 46 – Waivers:

No delay or omission in exercising any right accruing upon a default in performance of this Agreement will impair any right or be construed to be a waiver of any right. A waiver of any default under this Agreement will not be construed to be a waiver of any subsequent default under this Agreement.

SECTION 47 – Binding Effect:

This Agreement will be binding upon and inure to the benefit of the parties hereto and their respective permitted assigns and successors.

SECTION 48 – Limitations of Liability:

Except for UT Party's obligation (if any) to pay Preferred Supplier certain fees and expenses, UT Party will have no liability to Preferred Supplier or to anyone claiming through or under Preferred Supplier by reason of the execution or performance of this Agreement. Notwithstanding any duty or obligation of UT Party to Preferred Supplier or to anyone claiming through or under Preferred Supplier, no present or future affiliated enterprise, subcontractor, agent, officer, director, employee, representative, attorney or regent of UT Party, or anyone claiming under UT Party has or will have any personal liability to Preferred

Supplier or to anyone claiming through or under Preferred Supplier by reason of the execution or performance of this Agreement.

SECTION 49 – Relationship of the Parties:

For all purposes of this Agreement and notwithstanding any provision of this Agreement to the contrary, Preferred Supplier is an independent contractor and is not a state employee, partner, joint venturer, or agent of UT Party. Preferred Supplier will not bind nor attempt to bind UT Party to any agreement or contract. As an independent contractor, Preferred Supplier is solely responsible for all taxes, withholdings, and other statutory or contractual obligations of any sort, including workers' compensation insurance.

SECTION 50 – Severability:

In case any provision of this Agreement will, for any reason, be held invalid or unenforceable in any respect, the invalidity or unenforceability will not affect any other provision of this Agreement, and this Agreement will be construed as if the invalid or unenforceable provision had not been included.

SECTION 51 – External Terms:

This Agreement completely supplants, replaces, and overrides all other terms and conditions or agreements, written or oral ("**External Terms**"), concerning Preferred Supplier's performance under this Agreement. Such External Terms are null and void and will have no effect under this Agreement, regardless of whether UT Party or any of its employees, contractors, or agents consents or agrees to External Terms. External Terms include any shrinkwrap, clickwrap, browsewrap, web-based terms and conditions of use, and any other terms and conditions displayed in any format that UT Party, or its employees, contractors, or agents are required to accept or agree to before or in the course of accessing or using any goods or services provided solely by Preferred Supplier.

SECTION 52 – Conflicts:

In the event of a conflict between the terms and conditions of this Agreement and those of an IPA, the terms of this Agreement will control and govern.

SECTION 53 – Attachments:

The Riders listed below are attached to and fully incorporated into this Agreement as substantive parts of this Agreement:

- Rider 100** – Scope of Work
- Rider 200** – Price Schedule
- Rider 300** – Institutional Participation Agreement Form
- Rider 400** – Supplier Relationship Management
- Rider 500** – HUB Subcontracting Plan
- Rider 600** – Affirmative Action Compliance Program

Having agreed to the foregoing terms, and with the intention of being legally bound, the parties have executed this Agreement on the dates shown below.

THE UNIVERSITY OF TEXAS SYSTEM

[PREFERRED SUPPLIER]

Signed: _____
Scott C. Kelley, Executive Vice
Chancellor for Business Affairs

Date: _____

Signed: _____

Printed Name: _____

Title: _____

Date: _____

APPENDIX THREE- 300

INSTITUTIONAL PARTICIPATION AGREEMENT

By entering into this Institutional Participation Agreement (“**Institutional Participation Agreement**”), the undersigned institution (“**Institutional Participant**”) agrees to the terms and conditions set forth in the Preferred Supplier Agreement between The University of Texas System and _____, Agreement Number UTSSCA_____, dated effective _____, 20__ (the “**Preferred Supplier Agreement**” or “**PSA**”). All of the terms and conditions of the PSA are incorporated into this Institutional Participation Agreement for all purposes. Unless otherwise specified in this Institutional Participation Agreement, all defined terms used in this Institutional Participation Agreement have the same meaning as assigned to those terms in the PSA.

By entering into this Institutional Participation Agreement, Institutional Participant is authorized to take full advantage of all of the benefits and provisions set forth in the PSA including, but not limited to, the benefits listed below, which are specified in detail in the PSA:

Benefits from Preferred Supplier Agreement:

To obtain a broad range of computer-assisted coding software services at discounted prices.

Institutional Participant’s Responsibilities

To the extent authorized by applicable law and relevant rules and regulations of UT System and Institutional Participant, Institutional Participant will use commercially reasonable efforts to perform the following responsibilities:

- Identify Preferred Supplier as the primary supplier of computer-assisted coding software services.
- Organize and share benefits of the PSA at one or more “kick-off” events.
- Facilitate and promote at least one (1) Preferred Supplier products show per year, involving the services available for purchase under the PSA.
- Assist in the organization of technical presentations by Preferred Supplier.
- Permit Preferred Supplier, at its sole cost, to create and distribute sales and technical materials involving services available for purchase under the PSA and that may include updates on: pricing, new services information, technical developments, and special promotions. All such communications will be subject to prior approval by Institutional Participant.
- Periodically provide information to Preferred Supplier on current and projected opportunities for supply of Preferred Supplier’s services under the PSA.
- On an ongoing basis, make Institutional Participant’s end-users aware of the business relationship with Preferred Supplier and value-generation opportunities.
- Conduct quarterly business reviews to review reports and commitments.
- Facilitate resolution of customer/supplier conflicts.

Institutional Participant's notice address and contact information is:

[Name of Institutional Participant]

Street Address: _____

Fax: _____

Email: _____

Attention: _____

Institutional Participant designates the following contacts who will be responsible for facilitating this Institutional Participation Agreement:

INSTITUTIONAL PARTICIPANT: Primary Contact:

Name: _____

Title: _____

Telephone: _____

Fax: _____

Email: _____

INSTITUTIONAL PARTICIPANT: HUB Contact:

Name: _____

Title: _____

Telephone: _____

Fax: _____

Email: _____

Preferred Supplier designates the following contact who will be responsible for facilitating this Institutional Participation Agreement:

PREFERRED SUPPLIER Primary Contact:

Name: _____

Title: _____

Telephone: _____

Fax: _____

Email: _____

Insurance Paperwork. The insurance provisions of this Agreement require certain certificates and endorsements to be mailed, faxed, or emailed to Institutional Participant. Contact information for the Institutional Participant's representative authorized to receive such certificates and endorsements is as follows:

Name: _____

Title: _____

Address: _____

Fax: _____
Email: _____

Institutional Participant agrees to the terms of this Institutional Participation Agreement:

[Name of Institutional Participant]

By: _____
Printed Name and Title: _____
Signature: _____
Street: _____
City: _____ State: _____ Zip: _____
Date: _____

Upon activation of this Institutional Participation Agreement, Institutional Participant's Primary Contact will receive notification of activation via email. Please return signed completed form to the UT System Supply Chain Alliance Strategic Services Group at utsscainfo@mdanderson.org.

APPENDIX THREE - 400

SUPPLIER RELATIONSHIP MANAGEMENT

[Note: this is a Sample for Discussion]

1.0 Supplier Relationship Management (“SRM”) Program Requirements

Quality Business Reviews (“QBRs”) of Preferred Supplier’s performance under this Agreement will be conducted by the UT System Contract Administrator on behalf of UT System beginning four (4) times annually with each QBR scheduled within sixty (60) days after the close of the calendar year quarter (March, June, September, December). Institutional Participants may elect to establish a local level SRM program by a separate mutual agreement with Preferred Supplier.

2.0 Quarterly Business Reviews

2.1 QBRs will consist of two major components:

- (a) Key Performance Indicators: Preferred Supplier’s performance will be determined as measured against the Service Level for each Performance Measure set forth in **Table 1** below.
- (b) Business Relationship Indicators: The Business Relationship Indicators (defined and set forth in **Table 2** below) are designed to confirm that the objectives and goals of the relationship between Preferred Supplier and the Alliance remain aligned and moving in a mutually beneficial direction.

Table 1: Key Performance Indicators

Performance Measure	Service Level	Variance from Service Level	Maximum Score (TBD)	Definition and Measurement
System Availability, per institution	TBD	TBD	TBD	The ratio of time the software is accessible to the total time to be had within the defined Business Hours.
System Malfunctions	TBD	TBD	TBD	A failure of the software to perform in accordance with the Agreement. With identification of number, date(s) and duration of outages for each institution.
Project Manager Responsiveness	TBD	TBD	TBD	TBD

Administrative Fees & Incentive Payments	Not more than 5 days late	Y N	TBD	Paid accurately and on time within contract schedules
Alliance Reports	Not more than 5 days late	Y N	TBD	Submitted within contract schedule each month to the Alliance
Customer Satisfaction	90% of metric	$\leq 3\%$ $>3\%-\leq 8\%$ $>8\%-\leq 15\%$ $>15\%$	TBD	Preferred Supplier will attain customer satisfaction score of 90% or greater. Survey content and distribution to be agreed with Preferred Supplier to ensure appropriate measures recorded.

Table 2: Business Relationship Indicators

Performance Measure	Goal	Definition
Campus Outreach	Number and type of communications and events as defined in the Strategic Action Plan	Implement targeted communications and educational programs for end-users and purchasing personnel at each Institutional Participant to: a) foster cooperation and collaboration, b) increase understanding of the value of this Agreement, and c) create greater awareness of savings and savings opportunities.
Value Proposition	TBD	Report on savings, process changes, Improvements, and or innovations that have created increased value for the Institutional Participants

2.2 Business Relationship Indicators

Within sixty (60) days after the Effective Date of this Agreement, Preferred Supplier will submit for approval to the UT System Contractor Administrator a written Strategic Action Plan to achieve the goals in **Table 2** above. At a minimum the Strategic Action Plan will define the specific strategies, tasks, responsibilities, reports, and timelines to be executed to achieve each goal.

2.3 QBR Meeting Reports and Metrics

Preferred Supplier will prepare and deliver to the UT System Contract Administrator for review at each QBR a report of the Key Performance Indicators and Business Relationship Indicators.

The Key Performance Indicator report will be provided both in the aggregate, reflecting the total score for all Institutional Participants, and also will be reported separately for each Institutional Participant. Reports are to include data on a rolling-twelve-month basis, unless otherwise agreed. Reports are to be provided for each individual coding area/department within each institution.

An advance copy of the Key Performance Indicator Report will be sent to the UT System Contract Administrator no less than five (5) days prior to the scheduled QBR meeting date.

All report requirements may be modified by Institutional Participants within Preferred Supplier's reasonable capabilities to meet local requirements and service levels. Metrics may be revised upon mutual agreement between Preferred Supplier and the UT System Contract Administrator or the applicable Institutional Participant.

3.0 Preferred Supplier Evaluation and Rating

Once each quarter the UT System Contract Administrator will prepare and present to Preferred Supplier a scorecard of Preferred Supplier's performance based on their measured results under each of the KPIs for the preceding quarter. The scorecard will be presented and reviewed by Preferred Supplier and the UT System Contract Administrator during each QBR.

Preferred Supplier must obtain a minimum composite score of ___ from UT System for each quarter during the remaining term of this Agreement.

4.0 Corrective Action Plan

The UT System Contract Administrator will notify Preferred Supplier during a QBR if Preferred Supplier receives a composite score of less than ____ during the previous quarter or a score of Zero ("0") for any KPI.

Within fifteen (15) calendar days after receipt of such notice, Preferred Supplier will provide the UT System Contract Administrator with a written corrective action plan ("**CAP**") acceptable to the UT System Contract Administrator to address such unacceptable scores. At a minimum, the CAP will address Preferred Supplier's performance issues resulting in unacceptable score(s) and contain a root cause analysis of the problems causing such performance issue, proposed solutions to those problems, proposed process modifications to prevent recurrence of such problems, a time frame for Preferred Supplier's implementation of the proposed solutions and process modifications, and the person(s) who will be responsible for Preferred Supplier's implementation of the CAP. The CAP will be presented to the UT System Contract Administrator for concurrence prior to implementation. Concurrence with the CAP by the UT System Contract Administrator will not be unreasonably withheld or delayed. Concurrence with the CAP will not constitute a waiver by UT System of any rights regarding remedies.

5.0 Corrective Action and Remedies

If Preferred Supplier's implementation of the CAP does not result in a minimum composite score of ___ or better or if two (2) or more KPI's remain with a score of Zero ("0") during each subsequent calendar quarter, UT System may, at its sole discretion:

- Permit Preferred Supplier to resubmit a further Corrective Action Plan, or
- exercise other remedies available under this Agreement or applicable law.

APPENDIX FOUR

ACCESS BY INDIVIDUALS WITH DISABILITIES

Access by Individuals with Disabilities. Preferred Supplier represents and warrants (“**EIR Accessibility Warranty**”) that the electronic and information resources and all associated information, documentation, and support that it provides under this Agreement (collectively, the “**EIRs**”) comply with the applicable requirements set forth in Title 1, Chapter 213, *Texas Administrative Code*, and Title 1, Chapter 206, Rule §206.70, *Texas Administrative Code* (as authorized by Chapter 2054, Subchapter M, *Government Code*). To the extent Preferred Supplier becomes aware that the EIRs, or any portion thereof, do not comply with the EIR Accessibility Warranty, then Preferred Supplier represents and warrants that it will, at no cost to UT Party, either (1) perform all necessary remediation to make the EIRs satisfy the EIR Accessibility Warranty or (2) replace the EIRs with new EIRs that satisfy the EIR Accessibility Warranty. In the event Preferred Supplier fails or is unable to do so, UT Party may terminate this Agreement, and Preferred Supplier will refund to UT Party all amounts UT Party has paid under this Agreement within thirty (30) days after the termination date.

APPENDIX FIVE

ELECTRONIC AND INFORMATION RESOURCES ENVIRONMENT SPECIFICATIONS

The specifications, representations, warranties and agreements set forth in Proposer's responses to this **APPENDIX FIVE** will be incorporated into the Agreement.

Basic Specifications

1. If the EIR will be hosted by Institutional Participant, please describe the overall environment requirements for the EIR (size the requirements to support the number of concurrent users, the number of licenses and the input/output generated by the application as requested in the application requirements).
 - A. Hardware: If Proposer will provide hardware, does the hardware have multiple hard drives utilizing a redundant RAID configuration for fault tolerance? Are redundant servers included as well?
 - B. Operating System and Version:
 - C. Web Server: Is a web server required? If so, what web application is required (Apache or IIS)? What version? Are add-ins required?
 - D. Application Server:
 - E. Database:
 - F. Other Requirements: Are any other hardware or software components required?
 - G. Assumptions: List any assumptions made as part of the identification of these environment requirements.
 - H. Storage: What are the space/storage requirements of this implementation?
 - I. Users: What is the maximum number of users this configuration will support?
 - J. Clustering: How does the EIR handle clustering over multiple servers?
 - K. Virtual Server Environment: Can the EIR be run in a virtual server environment?

2. If the EIR will be hosted by Proposer, describe in detail what the hosted solution includes, and address, specifically, the following issues:
 - A. Describe the audit standards of the physical security of the facility; and
 - B. Indicate whether Proposer is willing to allow an audit by Institutional Participant or its representative.

3. If the user and administrative interfaces for the EIR are web-based, do the interfaces support Firefox on Mac as well as Windows and Safari on the Macintosh?

4. If the EIR requires special client software, what are the environment requirements for that client software?

5. Manpower Requirements: Who will operate and maintain the EIR? Will additional Institutional

Participant full time employees (FTEs) be required? Will special training on the EIR be required by Proposer's technical staff? What is the estimated cost of required training.

6. Upgrades and Patches: Describe Proposer's strategy regarding EIR upgrades and patches for both the server and, if applicable, the client software. Included Proposer's typical release schedule, recommended processes, estimated outage and plans for next version/major upgrade.

Security

1. Has the EIR been tested for application security vulnerabilities? For example, has the EIR been evaluated against the Open Web Application Security Project ("**OWASP**") Top 10 list that includes flaws like cross site scripting and SQL injection? If so, please provide the scan results and specify the tool used. Institutional Participant will not take final delivery of the EIR if Institutional Participant determines there are serious vulnerabilities within the EIR.
2. Which party, Proposer or Institutional Participant, will be responsible for maintaining critical EIR application security updates?
3. If the EIR is hosted, indicate whether Proposer's will permit Institutional Participant to conduct a penetration test on Institutional Participant's instance of the EIR.
4. If confidential data, including HIPAA or FERPA data, is stored in the EIR, will the data be encrypted at rest and in transmittal?

Integration

1. Is the EIR authentication Security Assertion Markup Language ("**SAML**") compliant? Has Proposer ever implemented the EIR with Shibboleth authentication? If not, does the EIR integrate with Active Directory? Does the EIR support TLS connections to this directory service?
2. Does the EIR rely on Active Directory for group management and authorization or does the EIR maintain a local authorization/group database?
3. What logging capabilities does the EIR have? If this is a hosted EIR solution, will Institutional Participant have access to implement logging with Institutional Participant's standard logging and monitoring tools, RSA's Envision?
4. Does the EIR have an application programming interface ("**API**") that enables us to incorporate it with other applications run by the Institutional Participant? If so, is the API .Net based? Web Services-based? Other?
5. Will Institutional Participant have access to the EIR source code? If so, will the EIR license permit Institutional Participant to make modifications to the source code? Will Institutional Participant's modifications be protected in future upgrades?

6. Will Proposer place the EIR source code in escrow with an escrow agent so that if Proposer is no longer in business or Proposer has discontinued support, the EIR source code will be available to Institutional Participant.

Accessibility Information

Proposer must provide the following, as required by Title 1, Rule §213.38(b) of the *Texas Administrative Code*:

1. Accessibility information for the electronic and information resources (“EIR”)¹ products or services proposed by Proposer, where applicable, through one of the following methods:
 - (A) the URL to completed Voluntary Product Accessibility Templates (“VPATs”)² or equivalent reporting templates;
 - (B) an accessible electronic document that addresses the same accessibility criteria in substantially the same format as VPATs or equivalent reporting templates; or
 - (C) the URL to a web page which explains how to request completed VPATs, or equivalent reporting templates, for any product under contract; and
2. Credible evidence of Proposer’s capability or ability to produce accessible EIR products and services. Such evidence may include, but is not limited to, Proposer’s internal accessibility policy documents, contractual warranties for accessibility, accessibility testing documents, and examples of prior work results.

¹ Electronic and information resources are defined in Section 2054.451, *Texas Government Code* ([link](#)) and Title 1, Rule §213.1 (6) of the *Texas Administrative Code* ([link](#)).

² Voluntary Product Accessibility Templates are defined in Title 1, Rule §213.1 (19) of the *Texas Administrative Code* ([link](#)). For further information, see this [link](#) to a VPAT document provided by the Information Technology Industry Council.

APPENDIX SIX

SECURITY CHARACTERISTICS AND FUNCTIONALITY OF CONTRACTOR'S INFORMATION RESOURCES

The specifications, representations, warranties and agreements set forth in Proposer's responses to this **APPENDIX SIX** will be incorporated into the Agreement.

"Information Resources" means any and all computer printouts, online display devices, mass storage media, and all computer-related activities involving any device capable of receiving email, browsing Web sites, or otherwise capable of receiving, storing, managing, or transmitting Data including, but not limited to, mainframes, servers, Network Infrastructure, personal computers, notebook computers, hand-held computers, personal digital assistant (PDA), pagers, distributed processing systems, network attached and computer controlled medical and laboratory equipment (i.e. embedded technology), telecommunication resources, network environments, telephones, fax machines, printers and service bureaus. Additionally, it is the procedures, equipment, facilities, software, and Data that are designed, built, operated, and maintained to create, collect, record, process, store, retrieve, display, and transmit information.

"Institutional Participant Records" means records or record systems that Proposer (1) creates, (2) receives from or on behalf of Institutional Participant, or (3) has access, and which may contain confidential information (including credit card information, social security numbers, and private health information ("**PHI**") subject to Health Insurance Portability and Accountability Act ("**HIPAA**") of 1996 (Public Law 104-191), or education records subject to the Family Educational Rights and Privacy Act ("**FERPA**").

General Protection of Institutional Participant Records

1. Describe the security features incorporated into Information Resources to be provided or used by Proposer pursuant to this RFP.
2. List all products, including imbedded products that are a part of Information Resources and the corresponding owner of each product.
3. Describe any assumptions made by Proposer in its proposal regarding information security outside those already listed in the proposal.

Complete the following additional questions if the Information Resources will be hosted by Proposer:

4. Describe the monitoring procedures and tools used for monitoring the integrity and availability of all products interacting with Information Resources, including procedures and tools used to, detect security incidents and to ensure timely remediation.
5. Describe the physical access controls used to limit access to Proposer's data center and network components.
6. What procedures and best practices does Proposer follow to harden all systems that would interact with Information Resources, including any systems that would hold or process Institutional Participant Records, or from which Institutional Participant Records may be accessed?

7. What technical security measures does the Proposer take to detect and prevent unintentional, accidental and intentional corruption or loss of Institutional Participant Records?
8. Will the Proposer agree to a vulnerability scan by Institutional Participant of the web portal application that would interact with Information Resources, including any systems that would hold or process Institutional Participant Records, or from which Institutional Participant Records may be accessed? If Proposer objects, explain basis for the objection to a vulnerability scan.
9. Describe processes Proposer will use to provide Institutional Participant assurance that the web portal and all systems that would hold or process Institutional Participant Records can provide adequate security of Institutional Participant Records.
10. Does Proposer have a data backup and recovery plan supported by policies and procedures, in place for Information Resources? If yes, briefly describe the plan, including scope and frequency of backups, and how often the plan is updated. If no, describe what alternative methodology Proposer uses to ensure the restoration and availability of Institutional Participant Records.
11. Does Proposer encrypt backups of Institutional Participant Records? If yes, describe the methods used by Proposer to encrypt backup data. If no, what alternative safeguards does Proposer use to protect backups against unauthorized access?
12. Describe the security features incorporated into Information Resources to safeguard Institutional Participant Records containing confidential information.

Complete the following additional question if Information Resources will create, receive, or access Institutional Participant Records containing PHI subject to HIPAA:

13. Does Proposer monitor the safeguards required by the HIPAA Security Rule (45 C.F.R. § 164 subpts. A, E (2002)) and Proposer's own information security practices, to ensure continued compliance? If yes, provide a copy of or link to the Proposer's HIPAA Privacy & Security policies and describe the Proposer's monitoring activities and the frequency of those activities with regard to PHI.

Access Control

1. How will users gain access (i.e., log in) to Information Resources?
2. Do Information Resources provide the capability to use local credentials (i.e., federated authentication) for user authentication and login? If yes, describe how Information Resources provide that capability.
3. Do Information Resources allow for multiple security levels of access based on affiliation (e.g., staff, faculty, and student) and roles (e.g., system administrators, analysts, and information consumers), and organizational unit (e.g., college, school, or department)? If yes, describe how Information Resources provide for multiple security levels of access.
4. Do Information Resources provide the capability to limit user activity based on user affiliation, role, and/or organizational unit (i.e., who can create records, delete records, create and save reports, run reports only, etc.)? If yes, describe how Information Resources provide that capability. If no, describe what alternative functionality is provided to ensure that users have need-to-know based access to Information Resources.

5. Do Information Resources manage administrator access permissions at the virtual system level? If yes, describe how this is done.
6. Describe Proposer's password policy including password strength, password generation procedures, password storage specifications, and frequency of password changes. If passwords are not used for authentication or if multi-factor authentication is used to Information Resources, describe what alternative or additional controls are used to manage user access.

Complete the following additional questions if Information Resources will be hosted by Proposer:

7. What administrative safeguards and best practices does Proposer have in place to vet Proposer's and third-parties' staff members that would have access to the environment hosting Institutional Participant Records to ensure need-to-know-based access?
8. What procedures and best practices does Proposer have in place to ensure that user credentials are updated and terminated as required by changes in role and employment status?
9. Describe Proposer's password policy including password strength, password generation procedures, and frequency of password changes. If passwords are not used for authentication or if multi-factor authentication is used to Information Resources, describe what alternative or additional controls are used to manage user access.

Use of Data

Complete the following additional questions if Information Resources will be hosted by Proposer:

1. What administrative safeguards and best practices does Proposer have in place to vet Proposer's and third-parties' staff members that have access to the environment hosting all systems that would hold or process Institutional Participant Records, or from which Institutional Participant Records may be accessed, to ensure that Institutional Participant Records will not be accessed or used in an unauthorized manner?
2. What safeguards does Proposer have in place to segregate Institutional Participant Records from system data and other customer data and/or as applicable, to separate specific Institutional Participant data, such as HIPAA and FERPA protected data, from Institutional Participant Records that are not subject to such protection, to prevent accidental and unauthorized access to Institutional Participant Records ?
3. What safeguards does Proposer have in place to prevent the unauthorized use, reuse, distribution, transmission, manipulation, copying, modification, access, or disclosure of Institutional Participant Records?
4. What procedures and safeguards does Proposer have in place for sanitizing and disposing of Institutional Participant Records according to prescribed retention schedules or following the conclusion of a project or termination of a contract to render Institutional Participant Records unrecoverable and prevent accidental and unauthorized access to Institutional Participant Records? Describe the degree to which sanitizing and disposal processes addresses Institutional Participant data that may be contained within backup systems. If Institutional Participant data contained in backup systems is not fully sanitized, describe processes in place that would prevent subsequent restoration of backed-up Institutional Participant data.

Data Transmission

1. Do Information Resources encrypt all Institutional Participant Records in transit and at rest? If yes, describe how Information Resources provide that security. If no, what alternative methods are used to safeguard Institutional Participant Records in transit and at rest?

Complete the following additional questions if Information Resources will be hosted by Proposer:

2. How does data flow between Institutional Participant and Information Resources? If connecting via a private circuit, describe what security features are incorporated into the private circuit. If connecting via a public network (e.g., the Internet), describe the way Proposer will safeguard Institutional Participant Records.

3. Do Information Resources secure data transmission between Institutional Participant and Proposer? If yes, describe how Proposer provides that security. If no, what alternative safeguards are used to protect Institutional Participant Records in transit?

Notification of Security Incidents

Complete the following additional questions if Information Resources will be hosted by Proposer:

1. Describe Proposer's procedures to isolate or disable all systems that interact with Information Resources in the event a security breach is identified, including any systems that would hold or process Institutional Participant Records, or from which Institutional Participant Records may be accessed.

2. What procedures, methodology, and timetables does Proposer have in place to detect information security breaches and notify Institutional Participant and other customers? Include Proposer's definition of security breach.

3. Describe the procedures and methodology Proposer has in place to detect information security breaches, including unauthorized access by Proposer's and subcontractor's own employees and agents and provide required notifications in a manner that meets the requirements of the state breach notification law.

Compliance with Applicable Legal & Regulatory Requirements

Complete the following additional questions if Information Resources will be hosted by Proposer:

1. Describe the procedures and methodology Proposer has in place to retain, preserve, backup, delete, and search data in a manner that meets the requirements of state and federal electronic discovery rules, including how and in what format Institutional Participant Records are kept and what tools are available to Institutional Participant to access Institutional Participant Records.

2. Describe the safeguards Proposer has in place to ensure that systems (including any systems that would hold or process Institutional Participant Records, or from which Institutional Participant Records may be accessed) that interact with Information Resources reside within the United States of America. If no such controls, describe Proposer's processes for ensuring that data is protected in compliance with all applicable US federal and state requirements, including export control.

3. List and describe any regulatory or legal actions taken against Proposer for security or privacy violations or security breaches or incidents, including the final outcome.

APPENDIX SEVEN

CERTIFICATE OF INTERESTED PARTIES (Texas Ethics Commission Form 1295)

This is a sample of the Texas Ethics Commission’s FORM 1295 – DISCLOSURE OF INTERESTED PARTIES. Contractor must use the Texas Ethics Commission electronic filing web page (at https://www.ethics.state.tx.us/whatsnew/elf_info_form1295.htm) to complete the most current Disclosure of Interested Parties form and submit the form as instructed to the Texas Ethics Commission and UT System. **The Certificate of Interested Parties will be submitted to UT System by Preferred Supplier only when the Agreement resulting from this RFP is signed.**

CERTIFICATE OF INTERESTED PARTIES		FORM 1295	
Complete Nos. 1 - 4 and 6 if there are interested parties. Complete Nos. 1, 2, 3, 5, and 6 if there are no interested parties.		OFFICE USE ONLY	
1 Name of business entity filing form, and the city, state and country of the business entity's place of business.			
2 Name of governmental entity or state agency that is a party to the contract for which the form is being filed.			
3 Provide the identification number used by the governmental entity or state agency to track or identify the contract, and provide a description of the goods or services to be provided under the contract.			
4		Nature of Interest (check applicable)	
Name of Interested Party	City, State, Country (place of business)	Controlling	Intermediary
5 Check only if there is NO Interested Party. <input type="checkbox"/>			
6 AFFIDAVIT I swear, or affirm, under penalty of perjury, that the above disclosure is true and correct.			
_____ Signature of authorized agent of contracting business entity			
AFFIX NOTARY STAMP / SEAL ABOVE			
Sworn to and subscribed before me, by the said _____, this the _____ day of _____, 20 _____, to certify which, witness my hand and seal of office.			
_____ Signature of officer administering oath Printed name of officer administering oath Title of officer administering oath			
ADD ADDITIONAL PAGES AS NECESSARY			

PROPOSER'S SURVEY**1.0 Company Profile**

- 1.1 Provide your company's main address, web address, and telephone number.
- 1.2 Provide your company's FEIN.
- 1.3 Provide your company's DUNS number.
- 1.4. Please provide your company's main contact for this RFP, including telephone number and email address.
- 1.4 What is your company's legal structure (e.g., corporation, partnership, etc.)?
- 1.5 What is your company's ownership structure? Is your company part of a consolidated group of companies? If so, how long has your company been part of the consolidated group? What proportion of total revenues does your company contribute to the consolidated group?
- 1.6 Please provide any details of all past or pending litigation or claims filed against your company that would affect your company's performance under an Agreement with UT System.
- 1.7 Within the past three years, have there been any significant developments in your organization, such as changes in ownership, restructuring, or personnel reorganizations? Do you foresee any future significant changes in your organization? If yes, please describe. Also, have you engaged in discussions with any party about their possible acquisition of your company or its assets? If so, please describe.
- 1.8 Has your company, or any of its parents or subsidiaries, ever had a bankruptcy petition filed in its name, voluntarily or involuntarily? If yes, specify the date, circumstances, and resolution.
- 1.9 Is your company currently in default on any loan agreement or financing agreement with any bank, financial institution, or other entity. If yes, specify date(s), details, circumstances, and prospects for resolution.
- 1.10 Please provide details of all instances within the past three (3) years you were cited as noncompliant during a regularity and/or audit review and provide the status of resolution/closure.
- 1.11 Is your company a State of Texas HUB firm and/or a Small Business (as defined by the U.S. Small Business Administration)? If so, please list all HUB/Small Business categories your company is qualified under.

2.0 References

- 2.1 Provide a listing of three (3) customers for which you have provided software and services of the type described in this RFP. Your customer reference list should include the company name; contact person including telephone number; scope and annual volume of services you provided (in \$); and the period of time for which work was performed.
- 2.2 List all new customer accounts for such software and services that your company has established within last 12 months. Your customer reference list should include the company name; contact person including telephone number; and scope of services.

3.0 Financial

- 3.1 If you did not provide your DUNS number as requested in response to Q.1.3 above, please provide two financial references (one trade reference and one financial institution/bank reference). List should include company name, mailing address, telephone number, FAX number, contact person and length of financial relationship.
- 3.2 If requested, please indicate your company's agreement to provide the company's audited financial statement for the last two (2) years.
- 3.3 Please provide the percentage of your company's total revenue that is generated by the sale of software and services similar to that sought in this RFP.

4.0 Staffing, Subcontractors, and Historically Underutilized Businesses

- 4.1 Provide the name, title, office location, and brief resume of the individual who would assume overall responsibility for the work to be performed for UT System. Include a brief description of their unique qualifications as it pertains to this project.
- 4.2 Provide a project-staffing plan that identifies the proposed "key" staff members who will be assigned to this account. Your response must include their resumes, their unique qualification as it pertains to this project, and define their role in the delivery of the services.
- 4.3 Partners, Affiliates, and Subcontractors
 - a. List any partners or affiliates that would be part of delivering the services and describe the nature of your relationship with this entity. Identify the projects on which you are currently utilizing these partners or affiliates or have utilized them within the past two (2) years. Your response must also indicate the location from which each of the partners or affiliates you listed provides their services.
 - b. Describe what opportunities you foresee to utilize subcontractors to perform portions of the work contemplated under this RFP.
 - c. Describe your company's process for the selection of subcontractors and your process for evaluating subcontractors' performance.
 - d. Identify the subcontractor resources outside of your company that you typically engage to assist in performing the services contemplated under this RFP and the role they play in performing the services. Identify the projects on which you are currently utilizing these subcontractors or have utilized them within the past two (2) years. Your response must also indicate the location from which each of the subcontractors you listed provides their services.

5.0 Experience and Capabilities

- 5.1 Describe in detail your expertise and experience in providing software and services of the type described in this RFP. For how many years? What size institution(s)?
- 5.2 Does your company possess all trade, professional, or business licenses as may be required by the work contemplated by this RFP?
- 5.3 What relevant certifications does your company maintain?
- 5.4 How many employees do you have dedicated to your software and services business (not including consultants)?

- 5.5 How many clients do you have that are in production and for how long?
- 5.6 Describe your company's setup or transition procedures and related timeline necessary to utilize your services. Is this process documented? If yes, please include an overview of the procedures and time-line.
- 5.7 Describe your roles/responsibilities in the transition and the roles/responsibilities of UT Party.
- 5.8 Does your company have documentation describing the return on investment of the proposed solution? What information would we need to provide in order to establish a current state benchmark that could then be compared to the results of implementing your solution? How often would this be reviewed?

6.0 CAC Functionality (If your organization is only proposing a CDI solution please enter N/A)

- 6.1 Describe the technology behind your NLP technology. Was the technology developed by your organization? If not, describe your company's relationship to the development organization. How does the NLP engine learn, grow, and improve code assignment accuracy over time? How does it model concepts and relationships? Also describe the tuning process that is required prior to when the tool begins auto-suggesting codes.
- 6.2 Does the CAC application auto-suggest ICD-10-CM/PCS and CPT codes for the encounter in one view for the coder?
- 6.3 Does the proposed solution contain all interfaces needed to provide the coder with a single workspace view and access to clinical documents that are needed for the encoder, CAC, and clinical documentation improvement (CDI)?
- 6.4 Does the CAC application auto-suggest outpatient codes for ICD-10-CM/PCS? Please provide each clinical area covered (e.g., laboratory, radiological/imaging, same day surgery, endoscopy, cardiology, rehab, etc.).
- 6.5 Describe the CAC software's ability to generate Healthcare Common Procedure Coding System (HCPCS) and Current Procedural Terminology (CPT) codes, provide coding edits for medical necessity (local coverage determinations and national coverage determinations), and integrate with the charge description master. If the documents are going through any type of coding edit process, how does this impact the overall process? Are early warning indicators provided when documentation is insufficient to code in ICD-10?
- 6.6 Does the CAC software have the ability to customize workflow queues across a department, modality, or system? To what extent can the coding workflow be customized?
- 6.7 Can the system workflow be configured to eliminate toggling among various screens/systems in order to access documentation necessary to validate demographics and to perform encoder, CAC, and CDI activities and processes? Please describe.
- 6.8 Does the CAC solution provide anywhere, anytime, access to complete ICD-9 and ICD-10 coding guidelines and coding clinic references based on selected code set? If the coder does not agree is there a notation as to where CAC came to the decision?
- 6.9 Does the system enable simultaneous coding and grouping or grouping interfaced? What about shuffle capabilities?
- 6.10 Does the application support both inpatient and outpatient coding?

- 6.11 Is your CAC solution encoder agnostic/neutral? Please elaborate on whether or not your CAC solution requires any other components of your software platform/suite to achieve 100% CAC functionality.
- 6.12 How does the CAC software integrate into current Health Information Management (HIM) functions? For example, what types of documents are accepted by the CAC tool?
- 6.13 Does the system ever send codes directly into a billing system without coder review? If so, how do you ensure the software is making the correct decisions and what evidence does it use to make those decisions? What type of pre-post audit capability does your system have?
- 6.14 What are the performance and accuracy benchmarks we could expect from the NLP engine and CAC software? Have these benchmarks been met at organizations similar in size and nature to ours?
- 6.15 Is there a limit to the number of concurrent users allowed to access the system?
- 6.16 Please describe the configuration of user passwords in the system. For example, support for password rules (length, strength, etc.), expiration, multi-facility access, master roles.
- 6.17 Does the software include optical character recognition (OCR) capability to recognize handwritten as well as typed text? If not, what is your future plan for implementing this? What is the average percent accuracy rate of OCR?
- 6.18 Describe any query functionality within the application and how it can be used to query physicians regarding incomplete documentation.
- 6.19 Describe your experience integrating with EPIC. What have been the top three challenges with an EPIC integration?
- 6.20 How is the NLP engine updated or enhanced for each customer? Please describe how we can tune the engine to our specific documentation. What is your best practice for customer involvement in the tuning and refinement of the NLP engine?
- 6.21 Are there any book marking capabilities that would capture where the coder left off?
- 6.22 Does the application have a time-out feature, which automatically signs a user off if a workstation has been left unattended? How do you define inactivity?
- 6.23 Does the system have the ability to code all Evaluation and Management specialties (e.g., Family Practice, Pediatrics, etc.)?
- 6.24 We are interested in understanding the procedure modifiers that would be necessary for your system to auto-suggest. Professional services only (26), repeat procedure; same provider (76), repeat procedure by a different provider (77) would be a few examples. Please elaborate on this subject as it pertains to your solution.
- 6.25 Does the CAC solution require documentation templates in a specific format, or can it read any format? Please detail the system requirements regarding the need for regimented formatted documents.

7.0 CDI Solution Integration (If your organization is only proposing a CAC solution please enter N/A)

- 7.1 If your solution integrates/utilizes Natural Language Processing, please describe the functionality.
- 7.2 If your solution integrates/utilizes an Integrated Encoder, please describe the functionality.
- 7.3 If your solution integrates/utilizes Computer Assisted Coding Capability, please describe the functionality.
- 7.4 If your solution interfaces with Electronic Health Records (e.g., Epic, Cerner, Meditech, etc.), please describe the functionality and the type of outbound/inbound records used.
- 7.5 If your solution has the capability of tracking or trending APR-DRGs, please describe the functionality.
- 7.6 Do you have experience interfacing the CDI solution with another vendor's CAC? If so, please list the vendor(s).
- 7.7 Describe how regulatory updates are implemented including a description of the update methodology for all payor, state and federal regulations. Include frequency of updates.
- 7.8 Describe how your product can identify gaps in quality and completeness of clinical documentation.
- 7.9 Is NLP used to automatically identify cases with potential opportunities?
- 7.10 If yes, how does the NLP minimize the number of false positives cases detected?
- 7.11 What is the NLP approach used for CDI and how does it compare to NLP used for coding?
- 7.12 Does system have the ability to discern clinical conditions based solely on discrete data that has not been mentioned in the medical documentation?

8.0 CDI Case Routing and Retrieval (If your organization is only proposing a CAC solution please enter N/A)

- 8.1 Describe how physicians can respond to queries? How does the physician review the documentation needed? Do they have to access multiple systems?
- 8.2 Can physicians have multiple ways to access and respond to queries? Or, must it be an organizational decision?
- 8.3 Can your product auto-generate queries that will include pertinent information gleaned by the NLP technology from the clinical documentation, for review and modification by the coder or Clinical Documentation Improvement Specialist (CDIS)?
- 8.4 Can coders easily see query results without accessing a different system?
- 8.5 Describe how your solution improves the collaboration and work flow process between the CDI team and the Coding Department (e.g. what collaborative tools are available; does your product leverage external technologies (e.g. Microsoft Outlook)?
- 8.6 Describe how coding staff are alerted to the CDI / Physician query process; as well as how the query and response can be reviewed in the coding work flow.

- 8.7 Are query responses processed by the NLP and results available for viewing by the CDI specialist?
- 8.8 Describe the complete CDI work flow and where work flow can be customized (work lists, shared work lists, account reassignment, account prioritization, etc.).
- 8.9 Describe how Physician Responses are added to the legal Medical Record.

9.0 CDI Query (If your organization is only proposing a CAC solution please enter N/A)

- 9.1 How does the solution present documentation improvement/query questions to the physician?
- 9.2 Can system auto generate queries based on organization preferences?
- 9.3 Is there a limit to the number of queries?
- 9.4 How are queries routed (e.g., to physician's inbox, within the record)?
- 9.5 How are queries monitored and tracked?
- 9.6 Once tracked, how are queries organized (specialty or topic specific)?
- 9.7 Can you tell the difference between queries that were just initiated vs queries that are closed?
- 9.8 Can coders see work query results without having to access additional systems?

10.0 CDI Audit Management (If your organization is only proposing a CAC solution please enter N/A)

- 10.1 How does the solution manage MS-DRG discrepancies between the CDS working DRG and the Coder assigned final MS-DRG?
- 10.2 How is management informed of CDS and Coder discrepancies between MS-DRG / Diagnosis / Procedures?

11.0 CDI Document Types (If your organization is only proposing a CAC solution please enter N/A)

- 11.1 What document types are typically transmitted?
- 11.2 Are documents required to be final or can they be working documents?
- 11.3 What happens when a working document is updated?
- 11.4 What data formats does the solution support (e.g., RTF, DOC, PDF, JPEG, text data, etc.)?
- 11.5 What are the solution's OCR capabilities for scanned documents?

12.0 CDI Expected Outcomes/Results (If your organization is only proposing a CAC solution please enter N/A)

- 12.1 Describe the expected change in the role of the CDS as a result of implementing the CDI solution.
- 12.2 Describe how the proposed CDI solution supports concurrent review and improves/expedites CDS' efficiency in chart review.

- 12.3 Provide historical results/outcomes of concurrent chart review (e.g., % increase in number of charts reviewed) after implementing the CDI solution.
- 12.4 Provide historical results/outcomes of improved CMI after implementing the CDI solution.
- 12.5 What is the expected duration of the learning curve post implementation (e.g., users are proficient after 30-45 days)?

13.0 Reporting

- 13.1 Describe the standard management tools and reports that are included and available “out of the box” with your company’s proposed solution (e.g., case mix trending, access, utilization, coder productivity by status and date approved, physician query management, and other activities). Include information on exports, dashboards, etc. in your response.
- 13.2 Please describe any other reporting capabilities (standard or custom) that are available, but were not mentioned in your response to the previous question above. In your response, please include any cost structure or fees that would be associated with custom reporting.
- 13.3 Is the software’s reporting system proprietary or are third party licenses required? If third party, please indicate which systems (e.g., Business Objects, etc.).
- 13.4 Does the software provide the ability to export data to MS Office applications?
- 13.5 Does the system provide the ability to restrict access to reports by employee role?
- 13.6 Do audit logs track actual activity that has been viewed and/or changed?
- 13.7 Are audit logs available to track what users have viewed and or edited in the system?
- 13.8 Are audit logs available to track any user who has printed and or exported patient data from the system?
- 13.9 Is reporting available that would let us know the level to which the system is currently, and if possible, projected to be with regard to coding and billing automatically in a Correct to Bill (CTB) format?
- 13.10 Does the system allow for a QA of a routine portion of the volume of work that might be going through a Correct to Bill (CTB) format?
- 13.11 Are there reports that provide a comparative analysis of providers, specialties, locations, etc.?
- 13.12 Can the system report on encoder, CAC, and CDI access, utilization, productivity and other activities?
- 13.13 If we use coder IDs to identify the coders, would we be able to pull notes by status, CPT code, DOS, and coder ID?
- 13.14 Can reports be pulled that are in read only status (e.g., need to append a note or comment but not change or modify the code)?

14.0 Project Approach and Implementation Plan

- 14.1 Describe your project approach and best service delivery model to provide the services described in this RFP. Describe how your approach and service delivery model would meet UT System's objectives as described in this RFP.
- 14.2 Provide a high-level implementation plan identifying the key tasks, milestones, and outcomes commencing date of contract award through the initial twelve (12) months of the contract term. Your response should highlight both your and UT System's responsibilities and resources required during each phase. Include samples of any surveys or questionnaires used to collect information or describe how business requirement information is collected. Indicate SMEs, in addition to coding staff, required to be included in the project team to ensure project success. Implementation plan should indicate how multiple coding areas at multiple institutions could be undertaken simultaneously, with adequate project management coordination. Include test plan design and coordination, including documentation of issues and their resolution. Describe your change request process for the implementation phase.
- 14.3 Describe the communication models used by your company to keep project personnel and internal Institutional Participants informed during transition/implementation. How would your models support consistent communications across a multi-institution deployment?
- 14.4 Describe the greatest implementation risks and your mitigation strategy.
- 14.5 Are there any best practices that early adopters of your solution have employed to achieve maximum benefit in their operations?

15.0 Training

- 15.1 Which of the following types of training does your company offer: Onsite at customer's facility, classroom based at a remote location, web-based? Please provide details of each type of training that is offered. Is there a cost for training? If so, please include the associated price schedule that would be available to UT System for each type of training? Is training available post-production?

16.0 Support and Maintenance

- 16.1 What are your organization's customer support hours (e.g., 24/7/365, etc.)?
- 16.2 Where is your customer support center located?
- 16.3 Does the solution include an online help function/feature within the application?
- 16.4 How often is your product updated? How are updates deployed?
- 16.5 Is downtime required for updates? If yes, please provide average downtime.
- 16.6 Describe your disaster recovery plans including the protection of source code as well as patient data.
- 16.7 How are customer requests for enhancements handled?
- 16.8 Describe your flexibility in customizing base product for hospital specific rules and alerts. Are there opportunities for individual institutions to customize the tool and/or add-on modules once your software is installed?
- 16.9 Provide your proposed service level agreement which should include service level management, help desk, communication, monitoring, reaction levels, severity or priority levels with initial

response time and ultimate resolution time for each level, performance thresholds and monitoring, change management, disaster recovery, penalties, and reporting.

- 16.10 Do you have a support issue/ticket tracking system that allows customers to open incidents via multiple methods (e.g., phone, email, web portal, etc.)?
- 16.11 Do you have an active user group to leverage feedback from current customers?
- 16.12 Will our account have a dedicated support lead who advocates for us, manages support, and acts as a triage mechanism?
- 16.13 Will our account have a dedicated technical contact who is a Subject matter Expert (SME) that can answer system and application specific questions whenever needed?
- 16.14 Describe your change and quality control processes for software updates/rollouts - including customer notice procedures.
- 16.15 Will your company assign a senior account manager to manage the overall contractual relationship with the Alliance?
- 16.16 Please describe how your company would facilitate account management and project management across multiple institutions? Specifically, would your company assign individual managers to each participating institution or would there be one manager for UT System that is shared by all institutions?
- 16.17 Please provide a copy of your standard software licensing / service terms. These standard software licensing / service terms will be reviewed, modified as necessary, and incorporated into the successful Proposer's final contract.
- 16.18 How often are updates released to the NLP engine, and what is the customer validation process?
- 16.19 How is ongoing maintenance of the system handled and how is coding impacted? For example, how will you ensure that the work hours of our off-shore coders is not problematic?
- 16.20 How much Expert Coder service would be available for a normal routine install?

17.0 Competitive Advantage

- 17.1 Projects of this type usually have challenges and/or difficulties along the way. Identify the challenges and/or difficulties you typically have encountered in providing similar services. What suggestions do you have for UT System to avoid or better position itself to manage these challenges?
- 17.2 Briefly describe your company's advantage over competitors in the marketplace or special benefits in UT System selecting your company that are not otherwise disclosed in your RFP response.
- 17.3 Please list any industry recognitions and/or rankings your company received during the past three (3) years as a provider of services of the type described in this RFP.
- 17.4 Does your system provide any tools that would assist with Recovery Audit Contractor (RAC) audits and tracking?
- 17.5 Please indicate any additional "value added" services or programs not otherwise asked or disclosed herein that should be considered during the RFP response evaluation process.

18.0 Hosting Services

- 18.0 Would the proposed software solution be UT hosted or Proposer Hosted? Please describe (i.e., ASP, SaaS, etc.)?
- 18.1 If solution is to be UT hosted, please describe and attach a diagram of your application architecture. Include sufficient technical information about all of the hardware and software components that UT must purchase/provide, as well as a description of any maintenance and support activities that UT would be expected to perform.
- 18.2 If solution is to be Proposer hosted, please provide detailed information about your hosting services environment. Specifically address the following items:
- 18.2.1 Do you operate your own data centers or do you outsource? Do you acquire co-location space from a third party for the data center? If you outsource or acquire co-location space from a third party, describe this relationship, including the identity of the third party and where they are located.
- 18.2.2 Describe the practices and services available within your data center to prevent unscheduled down time, including system redundancy, power backup, network redundancy, environmental controls, security, etc.
- 18.2.3 Describe partnerships with hardware and software vendors.
- 18.2.4 What is your capital investment strategy over the next three years? What is your strategy to keep infrastructure current? How often is hardware refreshed or replaced?
- 18.2.5 Are your data centers TIER certified? If so, provide copies of relevant certification documentation. If not, what is your assertion regarding the tier level(s) of your data center(s)?
- 18.2.6 Provide detailed information about your hosting physical security at your data center. Specifically address the following items:
- Describe structure design, practices, and measures taken to secure physical access and protect assets.
 - Describe if and how client servers, storage, and network are isolated from other customers. How are decisions made around clients sharing infrastructure components? Please provide examples.
 - Describe your employee screening procedure including performing background checks for employees or contracted third parties who will have access to confidential information. Does this include screening against the OIG and/or GSA exclusion list?
- 18.2.7 How does your hosting infrastructure solution accommodate temporary surges in users or transaction volume, to meet expected or unexpected additional peak periods of volume through the year? Please describe how you have done this for current customer demands.
- 18.2.8 How do you ensure proper server provisioning and what level of certification have you attained as an authorized provider of support services for the hardware that you support?
- 18.2.9 How do you ensure network connectivity and avoid distributed-denial-of-service (DDoS), degraded ISP service, etc.?

18.2.10 Describe your security infrastructure. Please include information on applications, platform, data, etc. What strategies are employed to ensure security? What is your escalation procedure if there is a security failure?

18.2.11 Please describe your help desk and incident report process and tools completely. Include information on metrics, communication, policies, procedures, etc.

19.0 Privacy

19.1 In relation to the software and services provided for UT Party, the vendor may be a Covered Entity that is required to comply with all applicable provisions of the Health Insurance Portability and Accountability Act, codified at 42 USC § 1320d through d-8 (HIPAA), and any regulations, rules, and mandates pertaining to the HIPAA privacy and security rules, as well as with any applicable state medical privacy requirements. The vendor will also be required to comply with UT Party's privacy and applicable information technology security policies. The vendor contract will require vendor to sign a Business Associate Agreement with each Institutional Participant, as appropriate. In response to the related interrogatories included in Appendix 6 of this RFP, the vendor must describe in detail its HIPAA privacy and security programs as well as its information security program.

19.2 Please provide a detailed description of the vendor's HIPAA privacy and security compliance programs as these would apply to UT Party data. Include information on workforce training and monitoring. Describe all policies and practices implemented to ensure the privacy of all confidential information as defined in the Agreement, including but not limited to protected health information as defined by the HIPAA privacy rule, employee/participant information, or other confidential information about UT Party. Include a link to the vendor's HIPAA policies and notice of privacy practices as well as a brief description of any HIPAA violations alleged against the vendor by consumers or the Department of Health and Human Services, including the outcomes. (See Appendix 6 for additional questions regarding Information Security.)

20.0 Access

20.1 Is the access controlled via VPN, Firewall, and LDAP/SAML Integration etc.?

20.2 Would UT System or individual institutions have access to the vendor's system or environment at the OS level?

20.3 Is your data center SSAE16 or SOC compliant?

20.4 Are there policies in place to log and limit personnel access to data on a need to basis?

21.0 Network Security

21.1 Will our data be segregated from other clients as well as other UT Institutions?

21.2 Is there firewall technology in place to control data and service access? Please describe.

21.3 Are there Intrusion Prevention or Detection system in place? Please describe.

21.4 Do you provide incident reports on intrusions detected?

21.5 Are the scheduled audits for possible intrusions? Please describe.

21.6 Is there a security vulnerability and patch management program in place?

- 21.7 How will users be authenticated?
- 21.8 Are code reviews and web vulnerability assessments performed for the explicit purpose of finding and remediating security vulnerabilities?
- 21.9 Is all data encrypted in transit and at rest?

22.0 Communication and Transmission of Data Files

- 22.1 Do you provide a secure connection via Private B2B VPN or dedicated circuit to individual institutions participating in program?
- 22.2 Do you provide a separate but equal test system with separate connectivity for production and test?
- 22.3 How many connections/ ports allowed per institution?
- 22.4 Are you able to accept data files in HL7 v2.3 or lower?
- 22.5 Are able to accept file types ORU, MDM, ADT, PDF, RTF, and TXT. Please provide a list of any other file types that can be accepted.
- 22.6 Do you have the ability to take a results file and parse it out distinct coder work files? Please state in detail the various options you can provide.
- 22.7 How will billing (DFT) files be returned?
- 22.8 Single file or multiple files for each individual participating institution? Single or multiple files within the institution based on specialty? What other capabilities are available for parsing DFT files? Is there any DFT to ADT reconciliation? If not ADT, what type of reconciliation can you provide?
- 22.9 Can you return a DFT file in HL7 format v2.3 or lower, what other formats are available?
- 22.10 Results processing – batch or real time inbound to coding system? If batch what available parameter can you parameters can you provide?
- 22.11 DFT processing – batch or real time outbound for DFT files for billing system? If batch what available parameter can you parameters can you provide?

23.0 Troubleshooting

- 23.1 What type of error traps are available for reconciliation?
- 23.2 How are clients notified of transmission errors?
- 23.3 Do you log and report transmission counts? What options are available and what methods of notifications are available?
- 23.4 Is there 24x7 monitoring of the interface engine and how are disruptions reported?
- 23.5 What tools are available to minimize duplicate transmissions?

23.6 Do you have any engine level reporting available? If so, do clients have access to this tool?

24.0 Fee Model

- 24.1 Please describe in detail how the various types of fees and charges associated with acquiring and/or licensing the proposed software tool and services. Please include an unbundled breakdown depicting all of the cost elements to license, implement and support the proposed solution. Please be very specific and include all hardware, software, licensing costs, and sizing specifications that would be needed to facilitate pricing a solution for a given institution. Detailed descriptions of software and hardware with all associated costs must be itemized, and architectural drawings (as applicable) with explanations must be included. If services are provided, the proposer must list the services and pricing options with costs, including all required travel costs. This would include, where applicable, maintenance and support, software hosting, software installation, interface design, technical support, and training.
- 24.2 Identify any fee-related factors not discussed in your response above that UT System should consider when doing business with your company and that could create a more cost effective arrangement for UT System.
- 24.3 Describe how you would keep fees competitive over the contract term.



RFP Submittal Deadline: **April 10, 2017** at **3:00 PM**
Houston, TX Time

Addendum Issue Date: **March 6, 2017**

ADDENDUM 1
REQUEST FOR PROPOSAL
UTS/A58
Computer Assisted Coding and
Clinical Documentation Improvement
Solution

ACKNOWLEDGEMENT OF THIS ADDENDUM 1 IS REQUIRED IN ACCORDANCE WITH **SECTION 1.2 OF APPENDIX ONE**, TO THE RFP. THIS RFP ADDENDUM IS A FURTHERANCE OF RFP **UTS/A58** AND IS NOT A CONTRACT OR OFFER TO CONTRACT.

Item One:

All Proposers are strongly encouraged to have a representative attend the pre-proposal meeting scheduled for **March 22, 2017 at 11:00 AM** Houston, TX time. Staff across the UT institutions will be available to answer questions pertaining to this RFP. A staff member from the UT System HUB Office also will be available to explain proposal requirements, and answer any questions that Proposers might have. The number one reason that proposals are disqualified is noncompliance with the HUB requirements associated with proposal submission. The Evaluation Team is not allowed to review proposals that do not properly comply with the HUB requirements.

Registration URL: <https://attendee.gotowebinar.com/register/8213368733209840642>
Webinar ID: 718-966-187
Conference Line Number: 1-877-226-9790
Participant Code: 7277429

Item Two:

The deadline to submit questions / concerns related to this RFP is **March 29, 2017 at 5:00 PM** Houston, TX time. All questions should be submitted via the Q&A tool that is built into the online SciQuest sourcing tool. UT System will use a reasonable amount of time to respond to questions or concerns. It is UT System's intent to respond to all appropriate questions and concerns; however, UT System reserves the right to decline to respond to any question or concern.

Item Three:

The proposal submittal deadline is **April 10, 2017 at 3:00 PM** Houston, TX time. Proposers are encouraged to not wait until the last minute to submit their proposals in the SciQuest (Jaegger) sourcing tool. The system will not allow a proposal to be submitted once the submittal deadline has passed. The system does, however, allow a Proposer to make changes to their submitted proposals up until the submittal deadline. For this reason, Proposer's are strongly encouraged to prepare and submit their proposals well in advance of the deadline.

Item Four:

SciQuest (Jaegger) sourcing tool will only accept one file per question. If responses require more than one file, Proposers must make sure to zip multiple files and upload as one upload.

All other terms, conditions and requirements set forth in RFP UTS/A58 remain unchanged and in effect.

END OF ADDENDUM 1



RFP Submittal Deadline: **April 10, 2017** at **3:00 PM**
Houston, TX Time

Addendum Issue Date: **March 16, 2017**

ADDENDUM 2
REQUEST FOR PROPOSAL
UTS/A58
Computer Assisted Coding and
Clinical Document Improvement
Solution

ACKNOWLEDGEMENT OF THIS ADDENDUM 2 IS REQUIRED IN ACCORDANCE WITH **SECTION 1.2 OF APPENDIX ONE**, TO THE RFP. THIS RFP ADDENDUM IS A FURTHERANCE OF RFP **UTS/A58** AND IS NOT A CONTRACT OR OFFER TO CONTRACT.

The purpose of this Addendum 2 is to publish certain operational details that have been collected from a few of the institutions for your bid consideration.

Section 1.2 of the RFP document indicates:

“For your bid consideration, operational details intended to convey the relative size of the five UT System health institutions that are participating in this RFP process, and the possible volumes of transactions that the CAC and CDI solutions would need to handle, will be provided via Addendum after this RFP document has been published.”

The University of Texas MD Anderson Cancer Center (UTMDACC)

- Number of beds: **665**
- Number of hospital discharges: **2,329 per month**
- Number of outpatient encounters: **200,000 per month**
- Number of outpatient surgical cases: **1,700 per month (both o/p & i/p)**
- Number of coders (size of coding staff): **86 UTMDACC FTEs and 33 Agency contract coders**
- Systems
 - EMR: **EPIC**
 - Financial System: **EPIC**
 - Billing System: **EPIC**

The University of Texas Southwestern Medical Center (UTSW)

- Number of beds: **Parkland (985), Clements (460), Zale (146), and CMC (373)**
- Number of coders (size of coding staff): **6 Radiology only**
- Number of billed Radiology Services: **1,162,066**
- Systems
 - EMR: **EPIC**
 - Billing System: **EPIC Resolute**

The University of Texas Health Science Center at San Antonio (UTHSCSA)

- Number of outpatient encounters: 979,045 (9/01/2015 – 8/31/2016)
- Number of emergency department billed visits: 57,623 (9/01/2015 – 8/31/2016)
- Number of outpatient surgical cases: 57,343 OP procedures (9/01/2015 – 8/31/2016)
- Number of inpatient surgical cases: 40,409 IP procedures (9/01/2015 – 8/31/2016)
- Number of coders (size of coding staff): 73 production coders 16 Coder Educator positions
- Systems
 - EMR: Epicare and various other EMR's in locations that our providers practice within
 - Financial System: Hyperion
 - Billing System: EPIC

The University of Texas Health Science Center at Houston (UTHSCH)

- Number of beds: MHH (266), LBJ (328) – CY 2016
- Number of hospital discharges: MHH (45,851), LBJ (69,767) – CY2016
- Number of emergency department billed visits: MHH (70,171), LBJ (70,107) – CY2016
- Number of outpatient encounters: Total ALL per FY is 578,816 (365,219 OP including ER, 213,597 IP)
- Number of outpatient surgical cases: 6,220 OP
- Number of inpatient surgical cases: 5,038 IP
- Number of coders (size of coding staff):
 - Radiology ~ 15
 - Emergency Medicine
 - ✓ 3 Support
 - ✓ 3 Coders
 - ✓ 2 Compliance Analyst
 - ✓ 1 CBM
 - ✓ McKesson-EDLBJ 3-5 coders
- Systems
 - EMR: Allscripts, EPIC, and Cerner
 - Billing System: GEGB

All other terms, conditions and requirements set forth in RFP UTS/A58 remain unchanged and in effect.

END OF ADDENDUM 2



RFP Submittal Deadline: **April 10, 2017** at **3:00 PM**
Houston, TX Time

Addendum Issue Date: **March 23, 2017**

ADDENDUM 3
REQUEST FOR PROPOSAL
UTS/A58
Computer Assisted Coding and
Clinical Document Improvement
Solution

ACKNOWLEDGEMENT OF THIS ADDENDUM 3 IS REQUIRED IN ACCORDANCE WITH **SECTION 1.2 OF APPENDIX ONE**, TO THE RFP. THIS RFP ADDENDUM IS A FURTHERANCE OF RFP **UTS/A58** AND IS NOT A CONTRACT OR OFFER TO CONTRACT.

All other terms, conditions and requirements set forth in RFP UTS/A58 remain unchanged and in effect.

Item One:

The Pre-proposal Conference Presentation (March 22, 2017) is attached.

Item Two:

The Pre-proposal conference attendee (March 22, 2017) lists, both in-person and via webinar, are attached.

Item Three:

The Pre-proposal Attendee Questions and Answers are posted as part of this Addendum 3 document. Please review all questions and answers.

Attendee Questions & Answers

- 1. Q:** Is the scope intended to cover both inpatient, outpatient, and professional? Would it include the hospitals and the health science centers?
A: Yes, that is correct.
- 2. Q:** Should Proposers assume that each participating institution would have its own installation / implementation, or does this RFP contemplate a single system-wide installation / implementation?
A: Proposers should assume that each participating institution will have its own installation / implementation.
- 3. Q:** What about installation / implementation as it relates to Alliance affiliate (non-UT) institutions?
A: The contract resulting from this RFP is not specifically intended to be applicable to Alliance affiliate (non-UT) institutions. The majority of Alliance (non-UT) affiliate institutions are academic universities (non-healthcare). However, if the selected Preferred Supplier would

be interested in extending the resulting contract to Alliance affiliates (non-UT), then the installation / implementation would be separate for each institution.

4. **Q:** Why are there no operational statistics posted in Addendum 2 for UTMB, and why are the statistics posted for UTSW not as complete as those posted for the other institutions?
A: We have posted all of the operational data that has been provided by the participating institutions. Proposers are encouraged to consider the posted information, as well as their industry experience, when submitting their proposals. If there is specific operational data that a Proposer must have in order to submit a proposal, please ensure that a request for that data is submitted via the Q&A portal in the SciQuest tool by 5:00 PM (Houston, TX time) on March 29, 2017.
5. **Q:** Is the organizational goal for CDI to have queries flow to the EPIC inbox, or are there other CDI query tools that would be considered?
A: Proposers are encouraged to detail all of their recommended solutions for CDI queries within their proposals. Per and MD Anderson subject matter expert (SME), the eventual goal is to have no queries. We want the CDI component to work while the physician is inputting the notes and to flow into the inbox. We do not want to go back to the physician three weeks after the notes were entered and ask him/her to remember what happened. The tool should remind the physician all the related issues that go with each diagnosis while the physician is inputting the notes.
6. **Q:** One of the questions in the Proposer Survey asks that we breakdown all hardware and software costs. Some of the hardware will be provided by the institution, so we could not provide a cost. We could provide a statement listing all of the requirements. Is this acceptable?
A: Yes. The expectation is that there are no surprise hidden costs where additional appliances or software may be needed for the functionality of the solution.
7. **Q:** Do you want a full breakdown of the supplier's out of pocket costs such as travel for implementation?
A: Yes. Proposers should provide a breakdown of any additional costs that may be incurred.
8. **Q:** Is the Alliance registered as a Group Purchasing Organization (GPO)?
A: UT System has an extensive accreditation process for GPOs interested in doing business with its institutions, and the Supply Chain Alliance was accredited through that process as an approved GPO.
9. **Q:** As for exceptions to the Preferred Supplier Agreement, are "redline" markups what you are looking to receive.
A: Yes. Any exceptions to the standard Preferred Supplier Agreement should be noted, and "redline" markups would be an acceptable manner to communicate those exceptions.
10. **Q:** Will UT System consider incorporating a Proposer's standard licensing / user agreement into the Preferred Supplier Agreement?
A: Yes. UT System will consider incorporating a modified version of the Proposer's licensing / user agreement during contract negotiations. Proposer should include a copy of their standard licensing / user agreement in their submitted proposal.

END OF ADDENDUM 3



SUPPLY CHAIN ALLIANCE
THE UNIVERSITY of TEXAS SYSTEM
Creating Value Through Collaboration

RFP UTS/A58 CAC and CDI Solutions Pre-Proposal Conference

Teleconference #: 877-226-9790

Participant Code: 7277429#

March 22, 2017 11:00 AM

Agenda

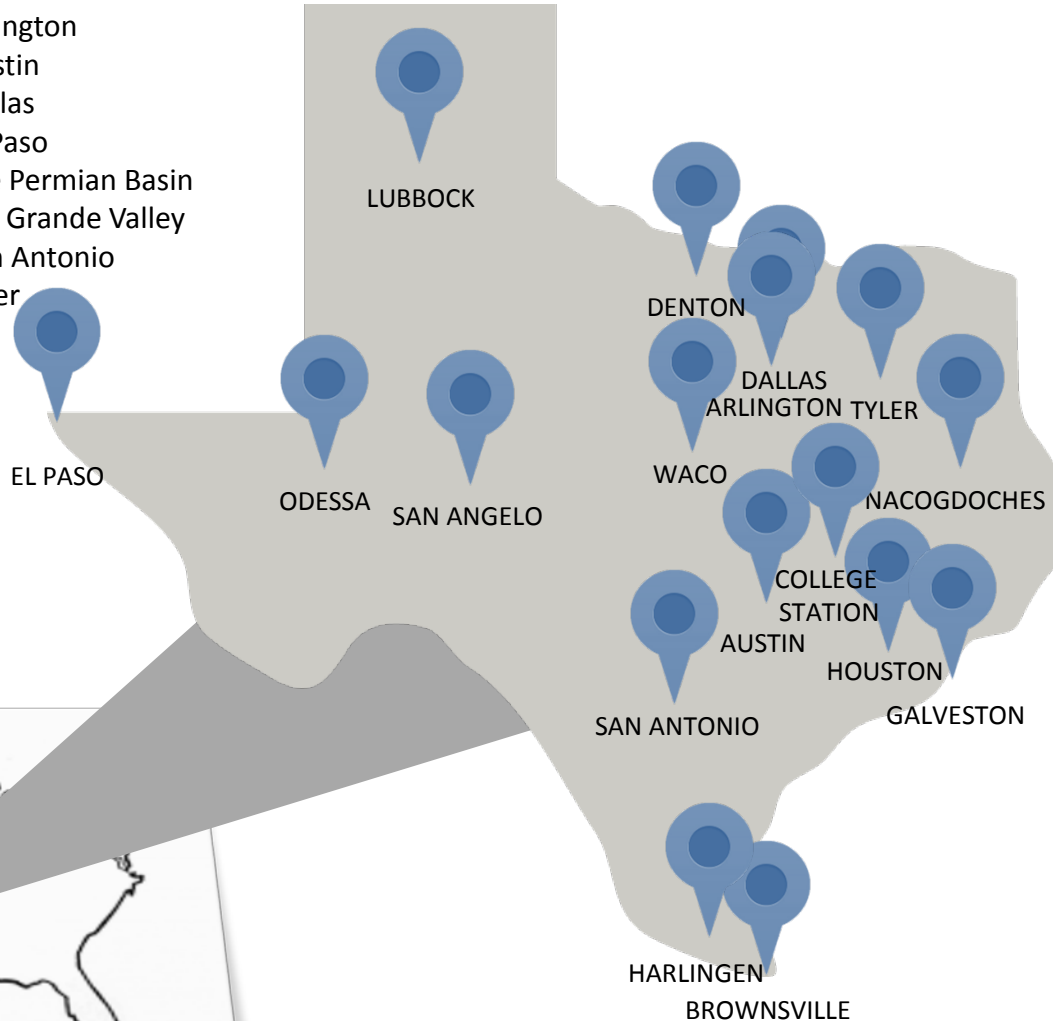
- 👤 Introduction
- 👤 UT System Supply Chain Alliance (UTSSCA) Overview
- 👤 RFP Overview
- 👤 UT System HUB Program Overview
- 👤 SciQuest e-Sourcing Platform
- 👤 Key Reminders
- 👤 Sourcing Event Contact(s)
- 👤 Questions & Answers

ALLIANCE OVERVIEW

The UT System Supply Chain Alliance

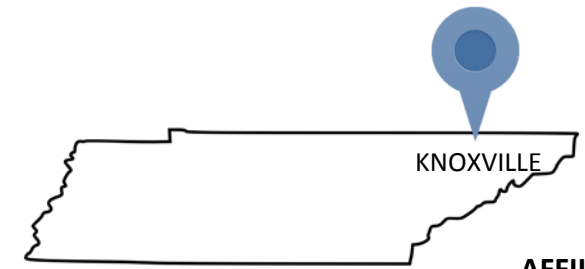
ACADEMIC

The University of Texas at Arlington
The University of Texas at Austin
The University of Texas at Dallas
The University of Texas at El Paso
The University of Texas of the Permian Basin
The University of Texas at Rio Grande Valley
The University of Texas at San Antonio
The University of Texas at Tyler



HEALTH

The University of Texas Southwestern Medical Center at Dallas
The University of Texas Medical Branch at Galveston
The University of Texas Health Science Center at Houston
The University of Texas Health Science Center at San Antonio
The University of Texas MD Anderson Cancer Center
The University of Texas Health Northeast



AFFILIATES

Baylor College of Medicine
Children's Medical Center
University of North Texas System
Rice University
Stephen F. Austin
Texas A&M University System
Texas Tech University
Tyler Junior College System
Baylor University
University of Tennessee
Angelo State University
Texas State Technical College (System)
Houston Community College

Alliance Facts

- Established by UT System in 2007
- Focused on Academic Health and Higher Education Institutions
 - ✓ 14 UT Members – 6 Health, 8 Academic
 - ✓ >30 Affiliates – including several multi-campus university systems
- Historically Underutilized Businesses
 - ✓ >25% of Alliance contract spend
- Combined Spend to Market
 - ✓ >\$1B Supplies & Services



You can view the Supply Chain Alliance video online on our YouTube Channel:
<https://www.youtube.com/watch?v=klep1pw5u1E&feature=youtu.be>



UTSSCA Key Successes



**FY17 marks the
10th year of
operations for the
Alliance**

**The Alliance has
more than 40
strategic supplier
agreements and a
GPO collaboration**

**The Alliance
contracts create a
potential savings
opportunity of
over \$175M**

Uniqueness of Alliance Contracts

Commitment to deliver spend to Preferred Suppliers

Institutional accountability for non-compliant spend

Marketing and promotion of Preferred Suppliers

Strategic Services Group (SSG) – Advocates for both Institutions and Preferred Suppliers

Lower cost structure for Preferred Supplier to do business



RFP OVERVIEW

Objective

UT System, acting through the Alliance, is soliciting proposals in response to this RFP for selection of a Preferred Supplier to provide a computer-assisted coding (“**CAC**”) and clinical documentation improvement (“**CDI**”) software solution. The successful Proposer(s) to whom business may be awarded is referred to in the RFP document as the “**Preferred Supplier.**”

- Increase efficiency, accuracy, and where possible automation, throughout the revenue cycle process
- Strong implementation support and training
- Supplier dedicated to ongoing product improvement
- Comprehensive and guaranteed pricing structure
- Leverage the aggregate purchasing volumes of Institutional Participants
- Achieve cost savings for Institutional Participants

Scope of Opportunity

Five (5) of the six (6) UT System health institutions use a CAC Solution licensed through a UT System agreement established in August 2011. UT System expects that these existing licensing arrangements will be wound down during a transition period ending in August 2018.

Contract(s) resulting from this current RFP:

- will be made available to all UT System health institutions
- are anticipated to have an initial term of seven (7) years, consisting of a base term of five years, with UT System having the option to extend the term for an additional two-year period upon written notice given to Preferred Supplier

Key Dates

Date	Time	Event
3/3/2017	3:00 pm*	Issue RFP Documents
3/22/2017	11:00 am*	Pre-Proposal Meeting
3/29/2017	5:00 pm*	<u>Deadline</u> to Submit Questions for clarification to RFP requirements - Section 2.2 of this RFP
3/29/2017	12:00 pm*	<u>Deadline</u> for preliminary review of HUB plan
4/10/2017	3:00 pm*	Proposal Submittal <u>Deadline</u>
April 2017		Selection of Finalists
April 2017		Finalists Interviews and Negotiations
May 2017		Anticipated Contract Awards(s)
* Houston, TX Time		

RFP Document Sections

Section 1

Introduction

- Description of UT
- Objective
- Background

Section 2

Notice to Proposer

- Timeline
- Contact Details

Section 3

Submission of Proposal

- Submittal Checklist

Section 4

General Terms & Conditions

Section 5

Specifications, Additional Questions, & Scope of Work

- Exceptions Uploaded in SciQuest (Section 5.1.3)

Section 6

Pricing Schedule & Affirmation

- Download & Return Signed Affirmation

RFP Appendices

- Appendix 1 Proposal Requirements
- Appendix 2 UT System Policy on HUBs
- Appendix 3 Sample Preferred Supplier Agreement
- Appendix 4 Access by Individuals with Disabilities
- Appendix 5 Electronic and Information Resource Specifications
- Appendix 6 Security Characteristics and Functionality Resources
- Appendix 7 Certificate of Interested Parties

Proposer's Survey

- Download the document and provide answers to each of the questions
- Upload the completed document
- Any additional attachments not required, but pertinent, can be attached as a separate file
 - SciQuest will only allow one document to be uploaded. If there are multiple documents to upload, you must use a ZIP file

HUB OVERVIEW

Historically Underutilized Business (HUB) Overview

What is a "Historically Underutilized Business"...

- is a for-profit entity that has not exceeded the size standards prescribed by 34 TAC §20.23, and has its principal place of business in Texas, and
- is at least 51% owned by an Asian Pacific American, Black American, Hispanic American, Native American, American woman and/or Service Disabled Veteran, who reside in Texas and actively participate in the control, operations and management of the entity's affairs.

Completing the HUB Sub-Contracting Plan (HSP)

- UT System Policy #137 requires a “good-faith effort” to include minority and woman-owned businesses in all of our procurement opportunities.
- All firms or individuals, both HUB and non-HUB, in-state or out-of-state, who propose on UT System opportunities, valued over \$100,000 are required to submit a HUB Subcontracting Plan with their RFP.
- Responses that do not include an HSP will be rejected as a material failure to comply with advertised specifications in accordance with the request for proposal.
- HUB Goal for this RFP is 26%

HSP Option 1: Subcontracting, all HUB vendors

OPTION 1 – If all of your subcontracting opportunities will be performed using only HUB vendors, complete the following sections

SEC 1.

- Respondent and Requisition Information

SEC 2.

- A. Yes, I will be subcontracting portions of the contract
- B. List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to HUB vendors
- C. Yes

SEC 3.

- Not applicable

SEC 4.

- Affirmation (*Signature Required*)

Attach &
Upload

- Sections 1-4
- Good Faith Effort (Attachment A) – Complete this attachment for each subcontracting opportunity from Section 2B.
- Letter of Transmittal

HSP Option 2: Subcontracting, HUB & Non-HUB

Meets or Exceeds the HUB Goal

OPTION 2 – If you are subcontracting with HUB & Non-HUB Vendors and the total % of HUB subcontractors meets or exceeds the HUB goal, complete the following sections

SEC 1.

- Respondent and Requisition Information

SEC 2.

- A. Yes, I will be subcontracting portions of the contract
- B. List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to Texas certified HUB vendors and Non-HUB vendors
- C. No
- D. Yes

SEC 3.

- Not Applicable

SEC 4.

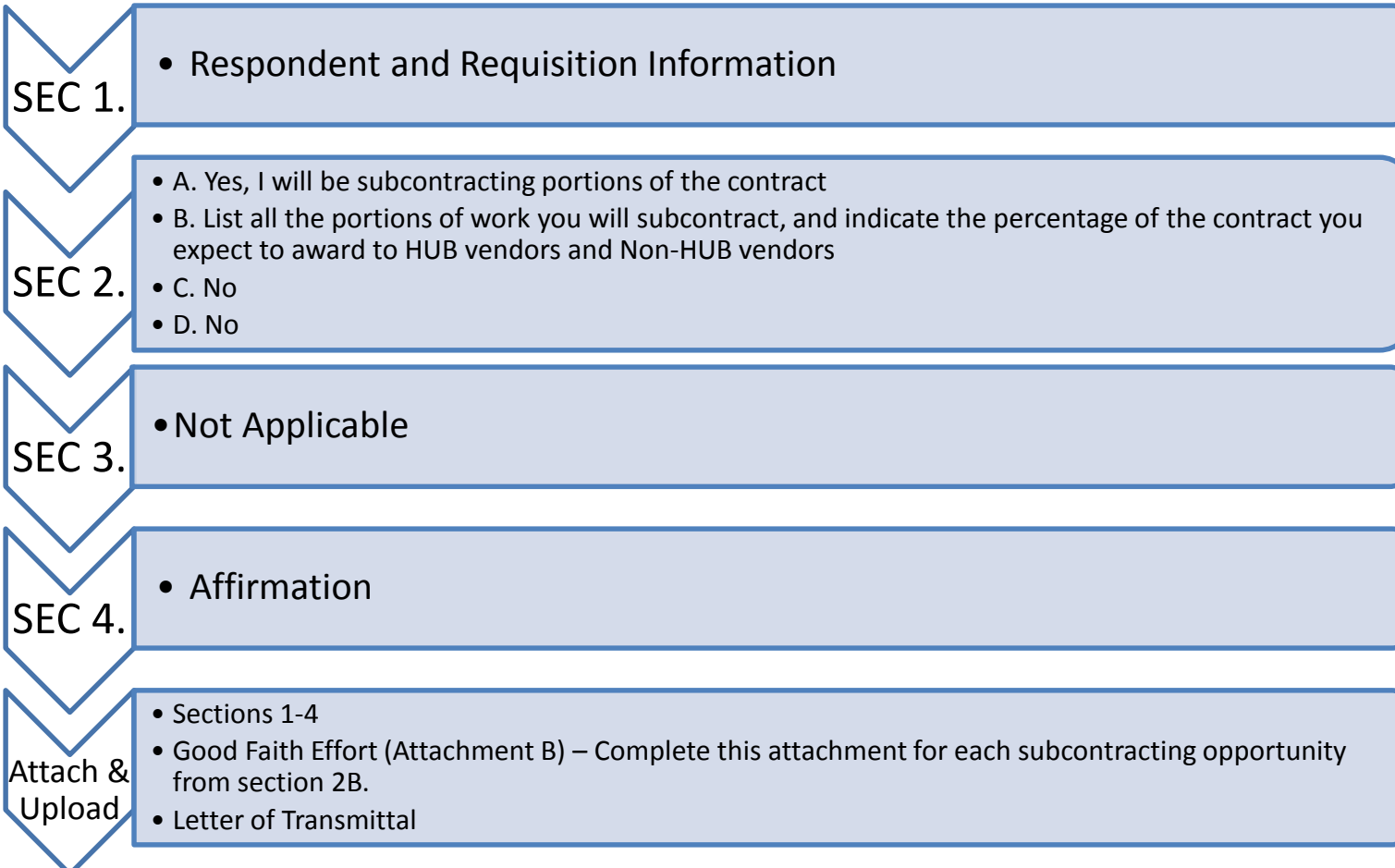
- Affirmation (*Signature Required*)

Attach &
Upload

- Sections 1-4
- Good Faith Effort (Attachment A) – Complete this attachment for each subcontracting opportunity from Section 2B.
- Letter of Transmittal

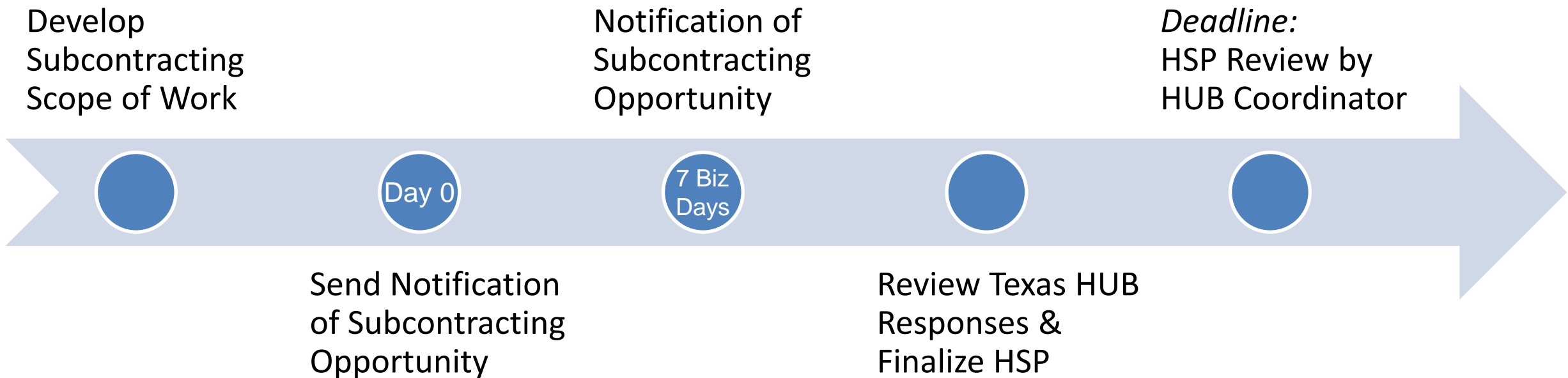
HSP Option 3: Subcontracting, HUB & Non-HUB

OPTION 3 – If you are subcontracting with HUB vendors and Non-HUB vendors (or only Non-HUB vendors), complete the following sections



HSP Option 3: Subcontracting, HUB & Non-HUB

If you plan to subcontract any portion of this RFP, you must complete Good Faith Effort (GFE) Method B. This requires a **7 business day notification** of the subcontracting opportunity to Texas certified HUBs and trade organizations or development centers.



Texas Minority & Women Organization Links:

<http://comptroller.texas.gov/procurement/prog/hub/mwb-links-1/>

HSP Option 4: Self-Performing

OPTION 4 – If you are not subcontracting any portion of the contract and will be fulfilling the entire contract with your own resources, complete the following sections

SEC 1.

- Respondent and Requisition Information

SEC 2.

- A. No, I will not be subcontracting any portion of the contract, and I will be fulfilling the entire contract with my own resources.

SEC 3.

- Self Performance Justification

SEC 4.

- Affirmation

Attach &
Upload

- Sections 1-4
- Letter of HUB Commitment

Required HUB Documents for Proposal Submission

- Letter of Transmittal or Letter of HUB Commitment
- HSP completed depending on your firms circumstances
(i.e. Option 1-4)

HSP FAQ's

- **Question:** I am certified as a State of Texas HUB. Do I still have to fill out the HSP?
 - **Answer:** Yes, every Proposer must complete the HSP or their Proposal will be disqualified.
- **Question:** If my company is based outside of the State of Texas, do I have to fill out an HSP?
 - **Answer:** Yes, your company's place of business is not considered for a HSP.
- **Question:** What are the cases that would exempt a company from filling out a HSP for this RFP?
 - **Answer:** None. Every Proposer must complete an HSP or their Proposal will be disqualified.
- **Question:** What is the biggest reason a Proposal may be disqualified during the RFP process?
 - **Answer:** **HSP was not received** or the Good Faith Effort was not met.

Before Proposal Submission



You may send the HSP to the HUB Coordinator for a preliminary review.

***BEFORE March 29, 2017 12:00pm**

UT System HUB Program Contact Details

Cynthia Booker

UT System Administration
Office of HUB Development

Office: 409-772-1353

cbooker@utsystem.edu

For a preliminary review of your HUB Plan, you must submit by **March 29, 2017 12:00 pm**

HSP must be submitted with your proposal response.

Responses that do not include an HSP will be rejected as a material failure to comply with advertised specifications in accordance with the request for proposals.

MD Anderson Supplier Portal

SciQuest Sourcing Director

THE UNIVERSITY OF TEXAS
MD Anderson
~~Cancer Center~~
Making Cancer History[®]

SUPPLIER MANAGEMENT PORTAL

Secure Account Login

Welcome to the University of Texas at MD Anderson Supplier Management Portal. Please login to begin.

Please login to view the sourcing event.

Email

Password

[Login](#) [Trouble logging in?](#)

To create a new account please click the button below.

[Create Account](#)

Please contact MD Anderson Supply Chain Management Help Desk at SupplyChainHelpdesk@mdanderson.org or +1 (713) 745-7997 for assistance.

powered by
sciQuest.

For registered supplier, click Supplier Portal Login

If you are a new supplier, click to register.

SciQuest Tips

- Upload Files
 - One file per question
 - SciQuest will only allow one attachment to be uploaded per question - if there are multiple attachments to be uploaded on a single question, you must use a ZIP file
- Answering questions
 - Review and Submit
 - Green check mark

Key Reminders

- All questions need to be submitted in SciQuest by March 29, 2017 at 5:00 PM CDT.
- Addendums will be published in SciQuest. Addendums will include:
 - Pre-proposal Conference PowerPoint
 - List of attendees (online & in person) from Pre-Proposal Conference
 - Questions from suppliers & answers from UT System
 - Additional questions or information communicated about the RFP
- Complete Your HUB Subcontracting Plan (HSP)
- Complete & Sign The Execution Of Offer and all items in the Submittal Checklist
- Deadline for RFP submittal is April 10, 2017 at 3:00PM CDT.

Sourcing Event Contact(s)

RFP Contacts

Tina Kuo

Sourcing Specialist

Phone: 713-745-2865

E-mail: TKuo2@mdanderson.org

Jason Stanford

Manager, Contracts

Phone: 713-563-1021

E-mail: jpstanford@mdanderson.org

UTMDACC SciQuest

Help Desk

Phone: 713-745-7997

E-mail: SupplyChainHelpdesk@mdanderson.org

RFP Q&A



Thank you for your participation!

Attendee Report: Computer Assisted Coding Pre-Propos

Attendee Details

#	Last Name	First Name	Company
1	Brozena	John	pairprep.com
2	Dailey	Denise	SME
3	Ginter	Robin	mmm.com
4	Katsaros	Liz	SME
5	Rastogi	Priyank	perficient.com
6	Rios	Albert	SME
7	Silver	Juliet	Perficient.com
8	Townsend	Brent	SME
9	Turner	Matt	dolbey.com



RFP Submittal Deadline: **April 10, 2017** at **3:00 PM**
Houston, TX Time

Addendum Issue Date: **April 5, 2017**

ADDENDUM 4
REQUEST FOR PROPOSAL
UTS/A58
Computer Assisted Coding and
Clinical Document Improvement
Solution

ACKNOWLEDGEMENT OF THIS ADDENDUM 4 IS REQUIRED IN ACCORDANCE WITH **SECTION 1.2 OF APPENDIX ONE**, TO THE RFP. THIS RFP ADDENDUM IS A FURTHERANCE OF RFP **UTS/A58** AND IS NOT A CONTRACT OR OFFER TO CONTRACT.

All other terms, conditions and requirements set forth in RFP UTS/A58 remain unchanged and in effect.

Item One:

Questions & Answers

Q: The University of Texas MD Anderson Cancer Center (UTMDACC) - The statistics provided indicate a requested proposal for Inpatient CAC, Outpatient CAC, and Clinical Documentation Improvement. If a professional CAC solution is also desired in the proposal for UTMDACC, we need the number of annual visits by specialty, for those specialties that generate electronic documentation that would typically be coded by coders, or desired to be coded by coders.

A: MD Anderson response:

	Professional Quantities
Anesthesiology/PeriOper Med	90,980
Critical Care Dept.	12,827
Pain Medicine Dept.	24,989
Anesthesiology & CC Division	128,796
Breast Medical Oncology	32,451
General Oncology	485
Genitourinary Medical Onc.	27,081
GI Medical Onc.	31,556
Gynecologic Med Onc.	84

Invest Cancer Therapeutics	15,029
Leukemia	86,232
Lymphoma / Myeloma	57,932
Melanoma Medical Onc.	14,173
Neuro Oncology	19,949
Palliative, Rehab & Integrative Med	48,310
Sarcoma Medical Onc.	14,075
Stem Cell Transplantation	60,222
Thoracic/Head & Neck Med Onc.	24,240
Cancer Medicine Division	431,819
Behavioral Science - Clinical	936
Clin Cancer Prevention	21,908
Health Svcs Clinical Research	1,678
CanPrev & POP Science Division	24,522
Diagnostic Radiology Dept.	729,234
Interventional Radiology	39,022
Nuclear Med.	30,814
Diagnostic Imaging Division	799,070
Cardiology Dept.	88,788
Dermatology Dept.	61,861
Emergency Medicine Dept.	35,195
Endocrine Neoplasia & HD	22,406
Gastroenterology Hepat & Nutri	24,520
General Internal Med.	34,609
Infection Ctrl/Employee Health	27,085
Psychiatry Dept.	13,458
Pulmonary Med.	42,548
Internal Medicine Division	350,470
Hematopathology	158,308
Laboratory Medicine Depart	371,052
Pathology	290,064
Pathology/Lab Med Division	819,424
Pediatrics Patient Care	18,052
Pediatrics Division	18,052
Proton Therapy Depart.	36,184
Radiation Oncology Dept.	153,210
Radiation Oncology Division	189,394
Southeast Region	23,617

West Region	29,489
LBJ Services	14,823
Memorial City RCC	3,200
St. Luke's Gamma Knife	263
Southwest Region	24,951
Women's Gyn Clin.	1,100
North Region	34,472
Houston Area Locations	131,915
Breast Surgery	12,334
Gyn Onc/Reproductive Medicine	24,026
Head & Neck Surgery	54,345
Neurosurgery Depart.	12,895
Orthopedic Onc.	9,215
Plastic Surgery Dept.	31,891
Surgical Oncology	40,765
Thoracic/Cardiovascular Surg.	13,081
Urology Dept.	30,612
Surgery Division	229,164
710106 - Nocturnal Program	2,348
710417 - Acute Care Procedure Team	5,793
VP Acute Care Svcs.	8,141
EVP Physician in Chief Area	3,130,767

Q: The University of Texas Southwestern Medical Center (UTSW) - The statistics provided indicate a requested proposal for CAC Professional coding for Radiology. If any solution other than CAC Professional for Radiology is requested, please identify solution required and any statistics (e.g., Inpatient Discharges, OP Visits, other CAC Pro specialties, and etc.).

A: We are only seeking a CAC for professional coding for radiology services.

Q: The University of Texas Health Science Center at San Antonio (UTHSCSA) - The statistics provided indicate a requested proposal for CAC Professional coding for Emergency Medicine and Surgery (IP and OP). If additional CAC support is required, please indicate which specialties and volumes. If any solution other than CAC Professional is requested, please identify solution required and any statistics (e.g., Inpatient Discharges).

A: With respect to UTHSCSA (San Antonio) we are only interested in the CAC for Radiology at this point. Possibly in the future we may look at other workflows, but at this point for this RFP we are only interested in covering Radiology as we currently have installed.

Q: The University of Texas Health Science Center at Houston (UTHSCH) - The statistics provided indicate a requested proposal for Inpatient CAC, Outpatient CAC, and Clinical Documentation Improvement, and/or Ambulatory Professional CAC. The coder count correlates more towards an Ambulatory CAC solution. Please identify which solutions are requested for UTHSCH.

A: We are interested in all of the above.

Q: Can you clarify for each participating institution, where their scanned images are stored? Are they in a single scanned image repository? If multiple, how many?

A:

- **MD Anderson:** Scanned images are stored in our OnBase application, which has an active hyperlink in EPIC Chart Review. Multiple images. Not sure what the maximum number is.
- **UT San Antonio:** we will have two. 1.) University Hospital Systems RIS/PACS system. 2.) UT Health Epic Radiant RIS/PACS system.

Q: In order to properly propose the training portion of our response, can you clarify the total number of coders, CDI staff and Management that will use the system for each participating institution?

A:

- **MD Anderson:** Coding has a total of 86 MDA coder FTEs, 9 Management staff members, and 34 contract agency coders.
- **UT San Antonio:** 5—7 coders, 2 CDI (Educator) and various management and others accessing the system. I would say a total of less than 20 individuals.

Q: Question 6.9 on the Proposer's Survey asks "Does the system enable simultaneous coding and grouping or grouping interfaced? What about shuffle capabilities?" Can you please clarify what is being asked here? I have been asked about concurrent coding and concurrent/working DRG's, but not simultaneous. Also, shuffle capabilities is not a term I am familiar with, can it be explained?

A: To clarify, question 9.6 is asking if the system allows for coding to occur concurrently or only retrospectively. Is there functionality that enables coders to assign codes throughout the patient's stay or only after discharge? Please disregard the portion of the question that refers to "shuffle capabilities."

Q: Addendum 3 stated that we should "assume each participating institution will have its own installation/implementation". I want to clarify that the "participating institutions" are: UTMDACC, UTSW, UTHSCSA, and UTHSCH. Thus 4 proposals should be submitted?

A: There are a total of five (5) UT System institutions that have each assigned a subject matter expert (SME) to actively participate in this RFP. Those institutions are

UTMDACC, UTSW, UTHSCSA, UTHSCH, and UTMB. All proposals should include details of the methodology/criteria that the Proposer uses when determining implementation activities and costs. This included detail should allow each interested institution to determine the specific activities and costs that would be applicable to their individual implementation requirements.

END OF ADDENDUM 4