



**STATE OF MARYLAND**

**MARYLAND BOARD OF PHYSICIANS (MBP)**

**INVITATION FOR BIDS (IFB)**

**PEER REVIEW SERVICES FOR THE MARYLAND BOARD OF  
PHYSICIANS**

**IFB NUMBER MDH/OPASS#20-18646**

**ISSUE DATE: FEBRUARY 7, 2020**

### **NOTICE**

A Prospective Bidder that has received this document from a source other than eMaryland Marketplace Advantage (eMMA) <https://procurement.maryland.gov> should register on eMMA. See **Section 4.2**.

**MINORITY BUSINESS ENTERPRISES ARE ENCOURAGED TO  
RESPOND TO THIS SOLICITATION.**

**Solicitation #: MDH/OPASS#20-18646**

**NO BID NOTICE/VENDOR FEEDBACK FORM**

To help us improve the quality of State solicitations, and to make our procurement process more responsive and business friendly, please provide comments and suggestions regarding this solicitation. Please return your comments with your response. If you have chosen not to respond to this solicitation, please email or fax this completed form to the attention of the Procurement Officer (see Key Information Summary Sheet below for contact information).

**Title: Peer Review Services for the Maryland Board of Physicians**  
**Solicitation No: MDH/OPASS#20-18646**

- 1. If you have chosen not to respond to this solicitation, please indicate the reason(s) below:
  - Other commitments preclude our participation at this time
  - The subject of the solicitation is not something we ordinarily provide
  - We are inexperienced in the work/commodities required
  - Specifications are unclear, too restrictive, etc. (Explain in REMARKS section)
  - The scope of work is beyond our present capacity
  - Doing business with the State is simply too complicated. (Explain in REMARKS section)
  - We cannot be competitive. (Explain in REMARKS section)
  - Time allotted for completion of the Bid is insufficient
  - Start-up time is insufficient
  - Bonding/Insurance requirements are restrictive (Explain in REMARKS section)
  - Bid requirements (other than specifications) are unreasonable or too risky (Explain in REMARKS section)
  - MBE or VSBE requirements (Explain in REMARKS section)
  - Prior State of Maryland contract experience was unprofitable or otherwise unsatisfactory. (Explain in REMARKS section)
  - Payment schedule too slow
  - Other: \_\_\_\_\_

- 2. If you have submitted a response to this solicitation, but wish to offer suggestions or express concerns, please use the REMARKS section below. (Attach additional pages as needed.)

REMARKS:

\_\_\_\_\_

\_\_\_\_\_

Vendor Name: \_\_\_\_\_ Date: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Phone (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

Address: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Solicitation #: MDH/OPASS#20-18646

**STATE OF MARYLAND**  
**MARYLAND BOARD OF PHYSICIANS (MBP)**  
**KEY INFORMATION SUMMARY SHEET**

|   |  |
|---|--|
| <b>Invitation for Bids</b>  | Peer Review Services for the Maryland Board of Physicians  |
| <b>Solicitation Number:</b>   | MDH/OPASS#20-18646   |
| <b>IFB Issue Date:</b>  | February 7, 2020   |
| <b>IFB Issuing Office:</b>  | Maryland Board of Physicians (MBP or the "Department")   |
| <b>Procurement Officer:</b><br><br><b>e-mail:</b><br><b>Office Phone:</b> | Dana Dembrow<br>201 W. Preston Street, Baltimore, MD 21201<br><a href="mailto:MDH.solicitationquestions@maryland.gov">MDH.solicitationquestions@maryland.gov</a><br>(410) 767-0974   |
| <b>Contract Officer</b>   | Calvin T. Johnson<br>Contract Officer<br>Office of Procurement and Support Services<br>201W. Preston Street, Room 416<br>Baltimore, MD 21201<br>Phone Number: (410) 767-8216<br>Fax Number: (410) 333-5958<br>E-mail: <a href="mailto:dhmh.solicitationquestions@maryland.gov">dhmh.solicitationquestions@maryland.gov</a> |
| <b>Procurement Coordinator</b>  | Leslie Jae Taylor<br>Fiscal Director<br>Maryland State Board of Physicians<br>4201 Patterson Avenue<br>Baltimore, MD 21215<br>Phone: 410-764-4707<br>Fax Number: (410) 358-2252<br>E-mail: <a href="mailto:leslie.taylor@maryland.gov">leslie.taylor@maryland.gov</a>  |
| <b>Contract Monitor</b>   | Brooks Whigham<br>Compliance Analyst<br>Maryland State Board of Physicians<br>4201 Patterson Avenue<br>Baltimore, MD 21215<br>Phone Number: (410) 767-4796<br>Fax Number: (410) 358-2252<br>E-mail: <a href="mailto:brooks.whigham@maryland.gov">brooks.whigham@maryland.gov</a>   |
| <b>Bids are to be sent to:</b>  | 201W. Preston Street, Room 416<br>Baltimore, MD 21201<br>Attention: <b>Calvin T. Johnson</b><br><b>Contract Officer</b>  |
| <b>Pre-Bid Conference:</b>  | February 27, 2020 @ 1:00 p.m. local time, at   |

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|   |   |
|---|---|
|   | The Maryland Department of Health, 201 W. Preston St., Room L1 Baltimore, Maryland 21201 See <b>Attachment A</b> for directions and instructions.             |
| <b>Questions Due Date and Time</b>                | March 24, 2020 @ 4:30 p.m. Local Time   |
| <b>Bid Due (Closing) Date and Time:</b>           | March 31, 2020 @ 2:00 p.m. Local Time<br>Bidders are reminded that a completed Feedback Form is requested if a no-bid decision is made (see <b>page iv</b> ). |
| <b>Public Bid Opening Date, Time and Location</b> | March 31, 2020 @ 2:15 p.m. local time Local Time<br>201 W. Preston St., Room 418<br>Baltimore, Maryland 21201   |
| <b>MBE Subcontracting Goal:</b>                   | 0%  |
| <b>VSBE Subcontracting Goal:</b>                  | 0%  |
| <b>Contract Type:</b>                             | indefinite quantity with fixed unit prices  |
| <b>Contract Duration:</b>                         | one (1) year base period with two (2) 1-year renewal option years   |
| <b>Primary Place of Performance:</b>              | Contractor’s work site(s)   |
| <b>SBR Designation:</b>                           | No  |
| <b>Federal Funding:</b>                           | No  |

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## **1 Minimum Qualifications**

### **Bidder Minimum Qualifications**

The bidder must demonstrate that it has at least two years of experience in the past five years recruiting Physicians and allied health practitioners for the purpose of consultations, testimony, report writing and/or peer reviews. Any combination of the prior components is acceptable.

As proof of meeting this requirement, the Bidder shall provide with its Bid at least three references able to attest to the Bidder's experience.

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## 2 Contractor Requirements: Scope of Work

### 2.1 Summary Statement

- 2.1.1 The Maryland Department of Health (MDH or the Department), Maryland Board of Physicians (Board) is issuing this Invitation for Bids (IFB) to obtain the services of certified Reviewers, to render an expert opinion as to whether the care rendered by a practitioner met the standards of quality care and/or whether the practitioner kept adequate medical records. The Board may also ask Reviewers to provide an opinion about any other allegation that may be grounds for discipline under the Maryland Medical Practice Act. This will allow the Board to carry out its mission of public protection.
- 2.1.2 It is the State's intention to obtain services, as specified in this IFB, from a Contract between the selected Bidder and the State.
- 2.1.3 The Department intends to make a single award as a result of this IFB.
- 2.1.4 Bidders, either directly or through their subcontractor(s), must be able to provide all services and meet all of the requirements requested in this solicitation and the successful Bidder (the Contractor) shall remain responsible for Contract performance regardless of subcontractor participation in the work. A contract award does not ensure a Contractor will receive all or any State business under the Contract.

### 2.2 Background and Purpose

- 2.2.1 The State is issuing this solicitation for the purposes of obtaining Physician, Physician Assistant, and other health professional Reviewers to determine whether the practitioners under investigation (Physicians, Physician Assistants, and certain other allied health practitioners) violated any provisions of the Maryland Medical Practice Act.
- 2.2.2 The Board is authorized to discipline Physicians, Physician Assistants, and allied health professionals under its jurisdiction when there is a preponderance of evidence to support a violation of one or more of the disciplinary grounds cited in Titles 14 and 15 of the Health Occupations Article, Annotated Code of Maryland. Certain disciplinary grounds, such as the failure of a Physician to meet appropriate standards of quality medical and surgical care or to keep adequate medical records require two peer review reports. The Board may ask for an expert review for other disciplinary grounds and/or health care professionals. Please see **Appendix 2** for an illustration of the Maryland Board of Physicians Complaint Process. The Board will ask Reviewers to provide an opinion about whether there are any grounds for discipline under the Maryland Medical Practice Act. To do this, the Board needs the services of like specialty Peer Reviewers, certified by the American Board of Medical Specialties (ABMS), the American Osteopathic Association (AOA), or the professional certification boards for various allied health practitioners in various specialties and the services of Physician Assistants with specific clinical experience See Attachment P for historical information on medical specialties used for past Peer Reviews. These Reviewers may also be asked to render opinions as to whether any other provisions of the Maryland Medical Practice Act have been violated, such as gross overutilization of health care services or immoral and/or unprofessional conduct. These Reviewers may also be required to consult with the Board's administrative prosecutors and testify as expert witnesses at a hearing that may ensue from their expert opinion.

The Medical Practice Act requires the Board to enter into a written Contract with an entity or individual for a confidential Peer Review.

- 2.2.3 The Contractor will be required to write Physician, Physician Assistant and/or allied health practitioner

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Peer Review and/or Expert Review reports that are conclusive, thorough, reliable, timely, and produced by qualified Reviewers who are willing and able to consult with administrative prosecutors and render expert testimony upon which the Board and its administrative prosecutors may rely in the prosecution of a complaint.

**2.2.4 General**

**2.2.4.1 Payment is contingent on timeliness**

2.2.4.1.1 In general, it is essential that the Board receive two Peer Review reports for each Physician and one Expert report for each allied health professional and Physician Assistant referral. The Contractor will deliver the completed report(s) within 60 days of the referral from the Board to the Contractor. The Board may grant an extension of up to 30 days for good cause shown, but only if the request was made before the 30<sup>th</sup> day after referral from the Board to the Contractor. No payment will be made for any referral with respect to which any peer and/or expert review report is submitted more than 60 days after referral, unless such report is delivered timely in accordance with a previously granted extension.

2.2.4.1.2 Time is of the essence in this contract. If at any point the Department's Contract Monitor withdraws a request for a peer and/or expert review pursuant to this Contract, the Contractor will submit all work performed up to that time and a prorated amount will be determined based upon the time the withdrawal was issued and the amount of work completed by the Contractor up to 50% of the Peer/Expert Review amount. This paragraph does not create a requirement that the Department's Contract Monitor issue any notice of withdrawal in order to enforce the requirement that payment will not be made unless reports are delivered timely; nor is the absence of such a notice of withdrawal a waiver of that requirement.

2.2.4.1.3 Unless the three conditions set out in **Sections 2.3.5.1, 2.3.5.2 and 2.3.1.3** are applicable, the Board will withdraw the request for a peer and/or expert review if not completed and delivered within 60 days (or within the time granted by an extension). No funds shall be payable to the Contractor.

2.2.4.1.4 The Board may determine that an additional peer and/or expert review report is necessary for a particular case and may require a third Peer Review report in the case of a Physician and a second report in the case of a Physician Assistant or allied health practitioner. No payment will be made for the third report (Physician) or a second report (Physician Assistant or allied health practitioner case) unless the Contractor delivers it within 60 days of the Department's Contract Monitor's request, or within the time set by any extension granted under the provisions of this paragraph.

2.2.4.1.5 The Contractor must notify the Contract Monitor of the name of the proposed third Peer Reviewer in the case of a Physician and a second report in the case of a Physician Assistant or allied health practitioner within 10 calendar days of the date of the Contract Monitor's request. The Contract Monitor shall notify the Contractor within the next three working days if the proposed third Reviewer in the case of a Physician and a second report in the case of a Physician Assistant or allied health practitioner is acceptable. Any additional material requested by the third Reviewer in the case of a Physician and a second report in the case of a Physician Assistant or allied health practitioner shall be requested by the 30<sup>th</sup> day after the Department's Contract

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Monitor's request. Unless the third Reviewer in the case of a Physician and a second report in the case of a Physician Assistant or allied health practitioner has requested additional pertinent material by the 30<sup>th</sup> day after the Department's Contract Monitor's request, and the Board has not provided that material nor notified the third Peer Reviewer or a second report in the case of a Physician Assistant or allied health practitioner that the material is nonexistent by the 45<sup>th</sup> day after the Department's Contract Monitor's request, no extension may be granted. If, however, the material was timely requested and the Board has not by the 45<sup>th</sup> day either supplied the material or notified the peer and/or expert Reviewer of its non-existence, the Board shall grant an extension, not to exceed 30 days. Unless such an extension has been granted, no payment will be made unless the additional peer and/or expert review report is delivered within 60 days of the date of the Department's Contract Monitor's request. If an extension has been granted, no payment will be made unless the third Peer Review report is delivered within the time set by the extension.

2.2.4.1.6 If the Board determines that a case requires an expedited Peer/Expert Review, it will designate in advance in writing that the case requires an expedited peer and/or expert review and will refer the case with the offer of payment for a completed review in 30 days. The Board will make the payment only if the Contractor returns two completed reports to the Board in 30 days, in the case of a Physician, and one completed report in the case of a Physician Assistant or allied health practitioner. All parts of the process, including identification and approval of the Reviewers, must take place within the 30-day time period. The Board will screen the Reviewers within 24 hours after the name is presented for screening. If the Board takes longer than 24 hours to screen the Reviewers, each day in addition to the required 24 hours will add one day to the due date.

2.2.4.1.7 Unless the Contract Monitor requests an expedited third review or a second review in the case of a Physician Assistant or allied health professional, if a third report or a second report in the case of a Physician Assistant or allied health professional is requested after the 30 day Peer Review reports are completed, the process will be in accord with **Subsection 2.2.4.1.6**.

For cases which the Board has designated in advance in writing as requiring expedited reviews in accordance with **Subsection 2.2.4.1.7**, the Board will pay the expedited rate of the Contract.

2.2.4.2 The Contractor shall assure that the Reviewer participates in any required preparation for testimony. This preparation will consist of consultation and possible preparation of expert witness testimony with the attorney assigned to prosecute the case by the Board. Consultation may include review of additional records or medical treatises or articles and preparation of an Addendum Report and review of pleadings including the charging document preparation. It will ordinarily take place in the Reviewers' office and may, at the discretion of the attorney, be conducted entirely by phone. The determination of whether preparation or consultation is required is made by the attorney assigned by the Board. The Contractor will provide the current contact information for the Reviewer to the Board. The Contractor will intervene if the Reviewer is unresponsive to the Board or its attorneys.

2.2.4.3 Testimony and other required presence maybe needed for a hearing. The Contractor shall assure that, if a Reviewer and/or expert Reviewer is required to testify at an administrative hearing, the Reviewer will testify fairly and knowledgeably about the case and must articulate clearly both the standard which he or she believes to be applicable and the reason why the care in question did or did not meet that standard and/or their opinion regarding the allegation and ground under the Medical Practice Act. When required by the attorney handling the case, the peer and/or expert Reviewer shall be present at a hearing for expert

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consultation. The determination of whether testimony or presence at a hearing is required is made by the attorney assigned by the Board.

2.2.4.4 If the Board refers a case, up to an including the last day of this Contract, the Contractor's responsibility to produce any of the required components continues in effect, and the Board's responsibilities of payment continues subject to all other conditions of the Contract.

2.2.4.5 Mandatory Payment to Reviewer

(a) Standard Reviews (Reviews due in 60 days)

The Contractor shall pay each Reviewer separate amounts for each of the following:

- (1) reviewing the case and completing that individual Reviewers' report in a timely manner;
- (2) if required, consulting, in preparation of the Board's charging document and for possible testimony, with administrative prosecutors assigned by the Board; and
- (3) if required, testifying in any consequent administrative proceeding or being required to be present during the hearing for expert consultation.

(b) Expedited Reviews (Reviews due in 30 days)

- (1) In cases where the Board requires an expedited Review, the Board will designate this requirement in advance and in writing.

2.2.4.6 Other than as required by **Section 2.2.4.5 (a) and (b)**, the Contractor may utilize any methods of administration it deems feasible and may produce the peer and/or expert review report by any method that does not violate federal or state law or the provisions of this Contract. The final peer and/or expert review reports, however, must be in the format specified and signed by each individual peer and/or expert Reviewer and must accurately reflect the reasoning and opinions of each peer and/or expert Reviewer.

2.2.4.7 Qualification of Reviewers

(a) General

For Physician cases, the Reviewers shall be Board-certified by the American Board of Medical Specialties or the American Osteopathic Association, must have five or more years post-residency, clinical experience in the practice of medicine, and, to the extent practicable, be licensed in Maryland and engaged in the practice of medicine in Maryland. For Physician Assistants and other allied health practitioners, five or more years of clinical experience in the appropriate discipline.

(b) By Specialty

Within 10 days from the Board's referral, the Contractor shall designate peer and/or expert Reviewers who will be of the same specialty as the Physician, allied health practitioner or Physician Assistant under investigation. In the event the Contractor is unable to locate a practitioner of that specialty, the Contractor will reach out to the Board and request approval of another Reviewer by the Contract Monitor. The Contractor will recommend Reviewers of a different specialty, the practitioners of which often perform the same or similar type of procedures as that provided by the investigated Physician and/or Physician Assistant

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or who often treat the same or similar medical problems as those for which the investigated Physician, allied health practitioner and/or Physician Assistant provided treatment. In requesting the substitution, the Contractor should describe the efforts it made to obtain a particular type of peer reviewer. The Contract Monitor can either approve the request to use a different, but similar type of reviewer, or direct the Contractor to undertake greater effort to obtain the preferred type of reviewer. The Contract Monitor shall approve the substitution of all Reviewers.

(c) Subspecialties

For Physician cases related to standard of care, if the Contract Monitor designates a subspecialty recognized by the American Board of Medical Specialties or the American Osteopathic Association, the Contractor shall make good faith efforts to produce two (2) Peer Reviewers of that subspecialty. If the Contractor cannot produce two (2) Peer Reviewers of that subspecialty the Contractor must produce two (2) Peer Reviewers of the specialty which encompasses that subspecialty.

(d) Maryland-Licensed Physicians, Physician Assistants and Allied Health Practitioners

The Contractor shall make a reasonable effort to utilize as Reviewers, Physicians, allied health practitioners and Physician Assistants licensed to practice in Maryland. If, within 10 days of the referral, the Contractor cannot designate a Maryland-licensed Physician, Physician Assistant or allied health practitioner, the Contractor shall so notify the Contract Monitor. The notification shall be in writing and shall narrate specific efforts to obtain Maryland-licensed Reviewers. The notification shall also advise the Board if the Contractor has located a qualified Reviewers licensed in a state other than Maryland. Upon receipt of such notification, the s Contract Monitor shall within 10 calendar days determine if these practitioners may be used.

(e) Screening Responsibilities of the Parties

For the reports due in 60 days, the Contractor is responsible for the initial screening of Peer and/or expert Reviewers for the appropriate qualifications as set out in **Section 2.2.4.7(a)** and to assure that the Peer and/or expert Reviewers have no public Board actions, pending complaints, Board investigations, law enforcement, or criminal investigations against them. The Contractor shall forward the names of any proposed Peer and/or expert Reviewers to the Board within 10 days of the date of the Board's referral of the case to the Contractor. Upon the receipt of the name of a proposed Reviewers, the Board will perform a final screening of the proposed Reviewers and will advise the Contractor within 5 Business Days of the Board's decision as to whether the proposed Reviewer may be utilized. No proposed Reviewers disapproved by the Board may be used by the Contractor for any subsequent review under this Contract. Except in cases in which the specialty or qualifications of the proposed Reviewers are at issue, the Board is not required to advise the Contractor of the reasons why a proposed Reviewers is unacceptable. No payment to the Contractor is due for any referral that the Department's Contract Monitor withdraws pursuant to this paragraph.

The timeline for screening of Reviewers for third review reports in the case of a Physician and a second report in the case of a Physician Assistant or allied health practitioner, which the Board may require is set out in **Subsection 2.2.4.1.6**.

The timeline for screening of peer and/or expert Reviewers for reports which the Board has designated in advance in writing as expedited reviews are due in 30 days as set out in **Subsection 2.2.4.1.7**.

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The Contractor is responsible for ensuring that the *Curriculum Vitae* of the Reviewer is available and current within one year of the completed review. The Contractor must ensure that the *Curriculum Vitae* of each Reviewer contain current contact information including a phone number and e-mail address. The Contractor must ensure that Reviewer return calls or e-mails from prosecuting attorneys within three Business Days.

The Contractor will engage qualified Physicians qualified Physician Assistants, and qualified allied health professionals. Qualified Physicians, Physician Assistants, and allied health professionals are individuals who are licensed and who have a minimum of five years clinical experience. Contractor will generate and sign an affidavit to this effect. All Physicians, Physician Assistants, and allied health practitioners who conduct peer/expert review referred by the Board, will review the materials provided by the Board pertaining to the quality of medical care provided by a practitioner under investigation and/or the adequacy of the medical records. Additional allegations under the Maryland Medical Practice Act may also be referred for expert review. Each Physician standard of care and record keeping case will normally require two Reviewers, though there may be instances in which three are required in **Subsection 2.2.4.1.5**. Each Physician Assistant case and other allied health professional case will normally require one Reviewer.

In each case, the Contractor shall assure that each Reviewer will submit a timely, single written report stating if the practitioner failed to meet the minimum standards of care, adequacy of documentation and possibly other allegations that are grounds for discipline under the Practice Acts, and cite the practitioners' failures regarding allegations under the Medical Practice Act. It is essential that the Board receive two Peer Review reports for each Physician and one Expert report for each allied health professional and Physician Assistant referral. The Contractor will deliver the completed report(s) within 60 days of the referral from the Board to the Contractor. In some of these cases, the same Reviewer will also be required to consult with an administrative prosecutor from the Office of the Attorney General in preparation for possible testimony at a confidential administrative proceeding as stated in **Section 2.2.3**. In some of these same cases, the same Reviewer will be required to testify as an expert witness to support his or her opinion at this confidential administrative hearing.

The Contract Monitor reserves the right to limit the number of reports from any individual Reviewer or to require the Contractor to use another Reviewer.

The Board shall annually (from the date the Board executes this agreement) require feedback from Reviewers on the process and quality review meetings with the Contractor.

The Contractor is responsible for ensuring that any review reports submitted to the Board are responsive to the questions posed and meet the Board's requirements. Reports that are unacceptable to the Board will be rejected if they do not meet the requirements as stated in **Subsection 2.2.6.3**.

### 2.2.5 Projected Need for Each Component

The Board expects to employ the Contractor to conduct peer and/or expert reviews in approximately 75 cases per year, comprising approximately 150 individual reports with multiple records and a much lower number of instances where either consultation or testimony is required, during the course of this one-year with two, one-year renewable options Contract. The Board expects that consultation will be required in about 40% of the cases referred, and that testimony will be required in about 5% of all cases referred. The Board cannot guarantee, however, that the requisite number of cases will arise or will be referred to the Contractor, or that consultation or testimony will be required in any specific number or percentages of cases. Cases are complaint-based so there may be more than the requisite number of cases,

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consultation and testimony referred to the Contractor. In addition, fiscal contingencies may arise, which limit the number of cases referred. Nevertheless, the Board will reimburse the Contractor only for Peer and/or Expert Reviews actually referred and reports delivered, and for instances of consultation or testimony actually accomplished. Please refer to **Appendix 3** for historical data by specialty and reviews involving single and multiple patients.

## 2.2.6 Reports Required from Contractor

### 2.2.6.1 Preparation of the Reports; Number of Reports Per Case and multiple patients

Depending on the case being referred, the Contractor shall assign two Reviewers and/or one expert Reviewer at the instruction of the Board and provide a written report from one or each of the Reviewers. The assignment must be made within 10 days of referral. If the Contractor is unable to designate appropriate Peer and/or Expert Reviewers within 10 days, the Contractor shall notify the Department's Contract Monitor in writing. **The Reviewers may not consult each other during their reviews or in preparing their reports and may not be part of the same group practice.** The Reviewer may not have any personal or professional relationship with the practitioner under investigation. Within 10 days after receipt of the Board's order, the Reviewer shall consult directly with the Department's Contract Monitor if necessary to discuss the focus of the referral and whether any additional records or further investigation is needed or would be helpful in order for the Reviewer(s) to form an informed opinion. If in the opinion of the Board a third Peer Review is necessary, the Contract Monitor will refer the case for a third report. The Board will pay the bid price for the actual services performed by third Reviewer.

### 2.2.6.2 Review of Materials

The Reviewer shall review all of the relevant medical records and charts, the complaint, applicable investigative reports and interview transcripts, and Prescription Drug Monitoring Program (PDMP) reports. The Reviewer shall refer to the relevant material reviewed in the completed report. The materials submitted for review will either involve one patient record or multiple patient records. If the practitioner under investigation submits a supplemental report with additional records, the Reviewers shall review the additional materials and opine on whether the additional materials have any impact on their original conclusions.

### 2.2.6.3 Submission of a Formal Written Report; Requirements

Peer and/or expert Reviewer shall submit to the Board formal written reports on selected electronic forms, hard copy examples of which are attached to this solicitation (**Appendix 5**). The Contractor will provide the electronic form on a disk (CD) or USB drive to each Reviewer. The Reviewer will compose the report directly on the electronic form, print out the completed report, sign the report, and return to the Contractor the hard copy report and the disk with the completed electronic form. The purpose of the electronic form is to assure that the Reviewer in each report and in the discussion in regard to each patient:

- (1) demonstrates knowledge of the background of the complaint and of the medical treatment at issue;
- (2) states the opinion to whether the records and documents provided support the allegations under the Maryland Medical Practice Act;
- (3) states what standard of quality care (if applicable) is required in this instance;
- (4) states whether the care rendered by the Physician /practitioner under review met the standard of quality care (if applicable).



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- (5) states the basis for the Reviewer’s opinion why the standard of quality care (or other alleged disciplinary ground) was met or not met in each case;
- (6) states the basis for the Reviewer’s opinion regarding the allegation(s);
- (7) responds to the Board’s questions and focus of review;
- (8) reaches a definitive and unambiguous conclusion on whether the quality of medical care provided and/or any other provision of the Maryland Medical Practice Act was met;
- (9) does not contain extraneous, irrelevant or personal comments;
- (10) does not contain “cut and pasted” responses for each patient record reviewed;
- (11) does not make any recommendations with respect to Board action;
- (12) provides a signature and date on the report.

The Board will reject peer and/or expert review reports that do not meet the requirements. Rejected reports will not be billable by the Contractor until the Board receives an acceptable report. If the Board completely rejects the peer and/or expert review reports, the Contractor shall not bill for such report.

The use of the electronic form, which is most preferable, is subject to the discretion of the Department’s Contract Monitor. However, the Contract Monitor may permit submission of the report by means other than the electronic form.

**2.2.7 Assurance Against Conflicts of Interest**

The Contractor shall assure that each Reviewer has no conflict of interest which would allow the objectivity of their opinions to be reasonably questioned. The Contractor shall not use a Reviewer who is relative, personal friend, business partner, supervisor or employee of a patient at issue or complainant. The Contractor shall not use a Reviewer who is a relative, personal friend, business partner, supervisor or employee of the investigated licensee. The Contractor shall not use a Reviewer who owes a debt to the investigated licensee, or to whom a debt is owed by the investigated licensee in question; nor shall the Contractor use a Reviewer who has a substantial business relationship with the licensee whether through a legal relationship or a pattern of referrals. The Contractor shall not use a Reviewer who is in direct and substantial professional or business competition with the licensee in question. When possible, the Contractor shall not use a Reviewer who works, or has worked, at the same facility as the licensee being investigated. Although there is no specific prohibition based on locality, the Contractor must be aware of possible conflicts arising from: (a) pattern of referrals, and (b) competition for patients or business. The Contractor shall in every case require each Reviewer to declare in writing that no relationship exists which will interfere with his or her objective judgment.

**2.2.8 Confidentiality**

The Contractor agrees to keep information obtained in the course of this Contract confidential in compliance with Md. Code Ann., Health Occ. §§14-401, 14-401.1, 14-410;14-411 and 14-506. The Contractor agrees further to comply with any applicable state and federal confidentiality requirements regarding collection, maintenance and use of health and financial information. This includes, where appropriate, the federal Health Insurance Portability and Accountability Act (HIPAA, 42 U.S.C. §1320d et. seq. and implementing regulations at 45 CFR Parts 160 and 164) (**Attachment J**) and the Maryland Confidentiality of Medical Records Act (Md. Code Ann. Health-General §§4-301 et. seq., MCMRA). This obligation includes providing training and information to employees regarding confidentiality obligations as to health and financial information and securing acknowledgement of these obligations from employees to be involved in the Contract. This obligation further includes restricting use and disclosure of the records, generally providing safeguards against misuse of information, keeping a record of any disclosures of information,

providing all necessary procedural and legal protection for any disclosures of information, promptly responding to any requests by the Department for information about its privacy practices in general or with respect to a particular individual, modifying such information as may be required by good professional practice as authorized by law, and otherwise providing good information management practices regarding all health and financial information.

## **2.2.9 Training**

2.1.5.1 The Contractor shall submit the training curriculum to be used for each Reviewer along with the IFB Bid. The Contractor shall train all Reviewers and certify based on the quarterly report to the Board and the Contract Monitor that each Reviewer has been trained in accordance with the most recently approved curriculum, in the purpose, function and methods of the Board's case review process, including but not limited to all of the requirements of this Contract. A list of the essential elements of this training is attached as Attachment S. The Board and Contract Monitor reserves the right to modify this list of elements. The Contractor must submit the training materials prior to training to the Contract Monitor for Board approval. The Contractor may offer this training by classroom lecture, audio-visual presentation, or individual tutorial. The Contractor may also provide training by written materials or by an online course, provided that these methods require participation or testing by the trainee to ascertain that the trainee understands the nature of the undertaking. The Contractor must submit the training materials to the Contract Monitor on an annual basis from the Contract start or renew date. The Board may make modifications to the training materials. The Contractor must submit a list of Reviewer trained each quarter.

2.2.9.1 The Contractor shall permit a representative of the Board to participate in any training process and must, in other instructional environments, include any specific material designated by the Board. A Contractor may request Board assistance in setting up or conducting any training process, but the Board's response level is discretionary.

### **2.2.9.2 Other State Responsibilities**

The State is responsible for providing required information, data, documentation, and test data to facilitate the Contractor's performance of the work, and will provide such additional assistance and services as is specifically set forth.

## **2.3 Department's Responsibilities and Tasks**

2.3.1 The Board will assemble the complaint, the response, and any investigative materials and medical records which it initially believes to be pertinent, prior to referring the case to the Contractor. The Board will deliver these materials to the Contractor. Such delivery constitutes the date of the referral to the Contractor.

2.3.2 The Board is seeking a secured electronic portal, provided by the Contractor, where case materials can be uploaded and where peer Reviewer/experts are granted access to those records for the purpose of conducting the review. The Board would like to eliminate as much paper as possible so scanning and uploading the material is highly preferable. The electronic portal must be made active four (4) weeks before the Contractor executes this agreement.

2.3.3 The Board will provide to its Contractor a peer and/or expert review record in which the case materials have been sequentially numbered and organized to facilitate a thorough and focused review and a detailed and complete report.

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2.3.4 The Board will provide the name and email address of the Department's Contract Monitor and a phone number at which the Department's Contract Monitor can be reached during normal business hours. The Department's Contract Monitor shall be responsible for maintaining contact with each Reviewer as needed. The Contract Monitor may delegate this responsibility.

2.3.5 Board Responsibilities Regarding Time; Extensions of Time for Reports due in 60 days

In the event that an individual Reviewer requires additional material not supplied along with the referral, the Department's Contract Monitor is responsible for providing the additional material promptly. The need for additional material will not affect the due date of the review, however, unless:

2.3.5.1 The Reviewer contacted the Department's Contract Monitor and requested the additional material within 30 days after the case was referred from the Board to the Contractor, and the additional material exists and can be obtained through reasonable additional efforts on the Board's part;

2.3.5.2 The Board failed to provide the additional material, or failed to ascertain whether the additional material exists, within 20 calendar days after the Contractor contacted the Department's Contract Monitor and requested the additional material; and

2.3.5.3 The Contractor notifies the Department's Contract Monitor in writing that the above conditions exist within 25 days after the Reviewer contacted the Department's Contract Monitor and requested the additional material.

2.3.5.4 In the event that the above conditions occur, the Contractor will be granted an extension of up to 30 days for a delay which is attributable to these conditions.

### 3 Contractor Requirements: General

#### 3.1 Contract Initiation Requirements

- A. Contractor shall schedule and hold a kickoff meeting within 10 Business Days of NTP Date. At the kickoff, the Contractor shall furnish an updated Project Schedule describing the activities for the Contractor, the State, and any third parties for fully transitioning to the Contractor's solution.

#### 3.2 End of Contract Transition

- 3.2.1 The Contractor shall provide transition assistance as requested by the State to facilitate the orderly transfer of services to the State or a follow-on contractor, for a period up to 60 days prior to Contract end date, or the termination thereof. Such transition efforts shall consist, not by way of limitation, of:
  1. Provide additional services and support as requested to successfully complete the transition;
  2. Maintain the services called for by the Contract at the required level of proficiency;
  3. Provide updated System Documentation, as appropriate; and
  4. Provide current operating procedures (as appropriate).
- 3.2.2 The Contractor shall work toward a prompt and timely transition, proceeding in accordance with the directions of the Contract Monitor. The Contract Monitor may provide the Contractor with additional instructions to meet specific transition requirements prior to the end of the Contract.
- 3.2.3 The Contractor shall ensure that all necessary knowledge and materials for the tasks completed are transferred to the custody of State personnel or a third party, as directed by the Contract Monitor.
- 3.2.4 The Contractor shall support end-of-Contract transition efforts with technical and project support to include but not be limited to:
  5. The Contractor shall provide a draft Transition-Out Plan 120 Business Days in advance of Contract end date.

The Transition-Out Plan shall address at a minimum the following areas:

- 1) Any staffing concerns/issues related to the closeout of the Contract;
- 2) Communications and reporting process between the Contractor, the State and the Contract Monitor;
- 3) Security and system access review and closeout;
- 4) Any hardware/software inventory or licensing including transfer of any point of contact for required software licenses to the State or a designee;
- 5) Any final training/orientation of State staff;
- 6) Connectivity services provided, activities and approximate timelines required for Transition-Out;
- 7) Knowledge transfer, to include:
  - a) A working knowledge of the current system environments;
  - b) Review with the State the procedures and practices that support the business process and current system environments;

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- c) Working knowledge of all technical and functional matters associated with the solution, its architecture, data file structure, interfaces, any batch programs, and any hardware or software tools utilized in the performance of the Contract;
- d) Documentation that lists and describes all hardware and software tools utilized in the performance of the Contract;
- 8) Plans to complete tasks and any unfinished work items (including open change requests, and known bug/issues); and
- 9) Any risk factors with the timing and the Transition-Out schedule and transition process. The Contractor shall document any risk factors and suggested solutions.

The Contractor shall ensure all documentation and data including, but not limited to, System Documentation and current operating procedures, is current and complete with a hard and soft copy in a format prescribed by the Contract Monitor.

The Contractor shall provide copies of any current daily and weekly back-ups to the State or a third party as directed by the Contract Monitor as of the final date of transition, but no later than the final date of the Contract.

Access to any data or configurations of the furnished product and services shall be available after the expiration of the Contract as described in **Section 3.2.5**.

### **3.2.5 Return and Maintenance of State Data**

- 6. Upon termination or the expiration of the Contract Term, the Contractor shall: (a) return to the State all State data in either the form it was provided to the Contractor or in a mutually agreed format along with the schema necessary to read such data; (b) preserve, maintain, and protect all State data until the earlier of a direction by the State to delete such data or the expiration of 90 days (“the retention period”) from the date of termination or expiration of the Contract term; (c) after the retention period, the Contractor shall securely dispose of and permanently delete all State data in all of its forms, such as disk, CD/DVD, backup tape and paper such that it is not recoverable, according to National Institute of Standards and Technology (NIST)-approved methods with certificates of destruction to be provided to the State; and (d) prepare an accurate accounting from which the State may reconcile all outstanding accounts. The final monthly invoice for the services provided hereunder shall include all charges for the 90-day data retention period.
- 7. During any period of service suspension, the Contractor shall maintain all State data in its then existing form, unless otherwise directed in writing by the Contract Monitor.
- 8. In addition to the foregoing, the State shall be entitled to any post-termination/expiration assistance generally made available by Contractor with respect to the services.

## **3.3 Invoicing**

### **3.3.1 General**

The Contractor shall send the original of each invoice and signed authorization to invoice to the Procurement Coordinator at:

Leslie Jae Taylor  
Fiscal Director  
Maryland State Board of Physicians  
4201 Patterson Avenue  
Baltimore, MD 21215

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Phone: (410) 764-4707  
Fax Number: (410) 358-2252  
E-mail: [leslie.taylor@maryland.gov](mailto:leslie.taylor@maryland.gov)

All invoices for services shall be verified by the Contractor as accurate at the time of submission.

An invoice not satisfying the requirements of a Proper Invoice (as defined in COMAR 21.06.09) cannot be processed for payment. To be considered a Proper Invoice, invoices must include the following information, without error:

- 1) Contractor name and address;
- 2) Remittance address;
- 3) Federal taxpayer identification (FEIN) number, social security number, as appropriate;
- 4) Invoice period (i.e. time period during which services covered by invoice were performed);
- 5) Invoice date;
- 6) Invoice number;
- 7) State assigned Contract number;
- 8) State assigned (Blanket) Purchase Order number(s);
- 9) Goods or services provided;
- 10) Amount due; and
- 11) Any additional documentation required by regulation or the Contract.

Invoices that contain both fixed price and time and material items shall clearly identify each item as either fixed price or time and material billing.

The Department reserves the right to reduce or withhold Contract payment in the event the Contractor does not provide the Department with all required deliverables within the time frame specified in the Contract or otherwise breaches the terms and conditions of the Contract until such time as the Contractor brings itself into full compliance with the Contract.

Any action on the part of the Department, or dispute of action by the Contractor, shall be in accordance with the provisions of Md. Code Ann., State Finance and Procurement Article §§ 15-215 through 15-223 and with COMAR 21.10.04.

The State is generally exempt from federal excise taxes, Maryland sales and use taxes, District of Columbia sales taxes and transportation taxes. The Contractor, however, is not exempt from such sales and use taxes and may be liable for the same.

Invoices for final payment shall be clearly marked as "FINAL" and submitted when all work requirements have been completed and no further charges are to be incurred under the Contract. In no event shall any invoice be submitted later than 60 calendar days from the Contract termination date.

This IFB is for a rate per deliverable as specified in Attachment B. There is also additional payment for Board-designated expedited reviews, also as specified in Attachment B.

### **3.3.2 Invoice Submission Schedule**

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The Contractor shall submit invoices in accordance with the following schedule:

Invoices shall be submitted by the 15th day of the month for activities concluded during the preceding month and include a listing by individual case, with the Board's assigned case number, and by component completed in each case. The Board will not pay for one Peer Review report; payment requires both Peer Review reports to have been received by the Board.

The Board will pay the amount according to the Contractor's accepted rates in its Bid: 1) per timely delivery of completed Peer Review reports meeting these specifications; 2) per the Peer Reviewer's consultation with the Board's assigned attorney as required and performed; and 3) per case in which expert testimony in an administrative hearing is given. The Board will pay an all-inclusive rate per deliverable only; all administrative, personnel, legal and overhead expenses are the Contractor's responsibility. Payment will be made within 30 days of receipt of the properly completed invoice which lists separately:

- 1) the timely Peer Review reports delivered which have met these specifications;
- 2) the consultations completed, as certified by the assigned attorney, and
- 3) the instances of testimony that were required and actually occurred.

### **3.3.3 Travel Reimbursement**

Travel will not be reimbursed under this IFB.

## **3.4 Liquidated Damages**

### **3.4.1 MBE Liquidated Damages**

Inapplicable because there is no MBE goal for this IFB.

### **3.4.2 Liquidated Damages other than MBE**

**3.4.2.1 Please refer to Section 2.2.4.**

## **3.5 Disaster Recovery and Data**

The following requirements apply to the Contract:

### **3.5.1 Redundancy, Data Backup and Disaster Recovery**

1. Unless specified otherwise in the IFB, Contractor shall maintain or cause to be maintained disaster avoidance procedures designed to safeguard State data and other confidential information, Contractor's processing capability and the availability of hosted services, in each case throughout the Contract term. Any force majeure provisions of the Contract do not limit the Contractor's obligations under this provision.
2. The Contractor shall have robust contingency and disaster recovery (DR) plans in place to ensure that the services provided under the Contract will be maintained in the event of disruption to the Contractor/subcontractor's operations (including, but not limited to, disruption to information technology systems), however caused.
  - 1) The Contractor shall furnish a DR site.
  - 2) The DR site shall be at least 100 miles from the primary operations site and have the capacity to take over complete production volume in case the primary site becomes unresponsive.

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3. The contingency and DR plans must be designed to ensure that services under the Contract are restored after a disruption within twenty-four (24) hours from notification and a recovery point objective of one (1) hour or less prior to the outage in order to avoid unacceptable consequences due to the unavailability of services.
4. The Contractor shall test the contingency/DR plans at least twice annually to identify any changes that need to be made to the plan(s) to ensure a minimum interruption of service. Coordination shall be made with the State to ensure limited system downtime when testing is conducted. At least one (1) annual test shall include backup media restoration and failover/fallback operations at the DR location. The Contractor shall send the Contract Monitor a notice of completion following completion of DR testing.
5. Such contingency and DR plans shall be available for the Department to inspect and practically test at any reasonable time, and subject to regular updating, revising, and testing throughout the term of the Contract.

### 3.5.2 Data Export/Import

1. The Contractor shall, at no additional cost or charge to the State, in an industry standard/non-proprietary format:
  - 1) perform a full or partial import/export of State data within 24 hours of a request; or
  - 2) provide to the State the ability to import/export data at will and provide the State with any access and instructions which are needed for the State to import or export data.
2. Any import or export shall be in a secure format per the Security Requirements.

### 3.5.3 Data Ownership and Access

1. Data, databases and derived data products created, collected, manipulated, or directly purchased as part of a IFB are the property of the State. The purchasing State agency is considered the custodian of the data and shall determine the use, access, distribution and other conditions based on appropriate State statutes and regulations.

Public jurisdiction user accounts and public jurisdiction data shall not be accessed, except (1) in the course of data center operations, (2) in response to service or technical issues, (3) as required by the express terms of the Contract, including as necessary to perform the services hereunder or (4) at the State's written request.

The Contractor shall limit access to and possession of State data to only Contractor Personnel whose responsibilities reasonably require such access or possession and shall train such Contractor Personnel on the confidentiality obligations set forth herein.

At no time shall any data or processes – that either belong to or are intended for the use of the State or its officers, agents or employees – be copied, disclosed or retained by the Contractor or any party related to the Contractor for subsequent use in any transaction that does not include the State.

The Contractor shall not use any information collected in connection with the services furnished under the Contract for any purpose other than fulfilling such services.

- 3.5.4 Provisions in **Sections 3.6.1 – 3.6.3** shall survive expiration or termination of the Contract. Additionally, the Contractor shall flow down the provisions of **Sections 3.6.1-3.6.3** (or the substance thereof) in all subcontracts.



### **3.6 Insurance Requirements**

The Contractor shall maintain, at a minimum, the insurance coverages outlined below, or any minimum requirements established by law if higher, for the duration of the Contract, including option periods, if exercised:

3.6.1 The following type(s) of insurance and minimum amount(s) of coverage are required:

1. Commercial General Liability - of \$1,000,000 combined single limit per occurrence for bodily injury, property damage, and personal and advertising injury and \$3,000,000 annual aggregate. The minimum limits required herein may be satisfied through any combination of primary and umbrella/excess liability policies.
2. Errors and Omissions/Professional Liability - \$1,000,000 per combined single limit per claim and \$3,000,000 annual aggregate.
3. Crime Insurance/Employee Theft Insurance - to cover employee theft with a minimum single loss limit of \$1,000,000 per loss, and a minimum single loss retention not to exceed \$10,000. The State of Maryland and the Department should be added as a "loss payee."
4. Cyber Security / Data Breach Insurance – (For any service offering hosted by the Contractor) ten million dollars (\$10,000,000) per occurrence. The coverage must be valid at all locations where work is performed or data or other information concerning the State’s claimants or employers is processed or stored.
5. Worker’s Compensation - The Contractor shall maintain such insurance as necessary or as required under Workers’ Compensation Acts, the Longshore and Harbor Workers’ Compensation Act, and the Federal Employers’ Liability Act, to not be less than one million dollars (\$1,000,000) per occurrence (unless a state’s law requires a greater amount of coverage). Coverage must be valid in all states where work is performed.
6. Automobile or Commercial Truck Insurance - The Contractor shall maintain Automobile or Commercial Truck Insurance (including owned, leased, hired, and non-owned vehicles) as appropriate with Liability, Collision, and PIP limits no less than those required by the State where the vehicle(s) is registered, but in no case less than those required by the State of Maryland.

3.6.2 The State shall be listed as an additional insured on the faces of the certificates associated with the coverages listed above, including umbrella policies, excluding Workers’ Compensation Insurance and professional liability.

3.6.3 All insurance policies shall be endorsed to include a clause requiring the insurance carrier provide the Procurement Officer, by certified mail, not less than 30 days’ advance notice of any non-renewal, cancellation, or expiration. The Contractor shall notify the Procurement Officer in writing, if policies are cancelled or not renewed within five (5) days of learning of such cancellation or nonrenewal. The Contractor shall provide evidence of replacement insurance coverage to the Procurement Officer at least 15 days prior to the expiration of the insurance policy then in effect.

3.6.4 Any insurance furnished as a condition of the Contract shall be issued by a company authorized to do business in the State.

3.6.5 The recommended awardee must provide current certificate(s) of insurance with the prescribed coverages, limits and requirements set forth in this section within five (5) Business Days from notice of recommended

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award. During the period of performance for multi-year contracts, the Contractor shall provide certificates of insurance annually, or as otherwise directed by the Contract Monitor.

- 3.6.6 The Contractor shall require any subcontractors to obtain and maintain comparable levels of coverage and shall provide the Contract Monitor with the same documentation as is required of the Contractor.

### **3.7 Security Requirements**

The following requirements are applicable to the Contract:

#### **3.7.1 Employee Identification**

1. Contractor Personnel shall display his or her company ID badge in a visible location at all times while on State premises. Upon request of authorized State personnel, each Contractor Personnel shall provide additional photo identification.
2. Contractor Personnel shall cooperate with State site requirements, including but not limited to, being prepared to be escorted at all times, and providing information for State badge issuance.
3. Contractor shall remove any Contractor Personnel from working on the Contract where the State determines, in its sole discretion, that Contractor Personnel has not adhered to the Security requirements specified herein.
4. The State reserves the right to request that the Contractor submit proof of employment authorization of non-United States Citizens, prior to commencement of work under the Contract.

#### **3.7.2 Security Clearance**

A security clearance is not required for Contractor Personnel assigned to the Contract.

#### **3.7.3 On-Site Security Requirement(s)**

On-site security is not a Contractor requirement for this Contract.

#### **3.7.4 Information Technology**

- (a) Contractors shall comply with and adhere to the State IT Security Policy and Standards. These policies may be revised from time to time and the Contractor shall comply with all such revisions. Updated and revised versions of the State IT Policy and Standards are available online at: [www.doit.maryland.gov](http://www.doit.maryland.gov) – keyword: Security Policy.
- (b) The Contractor shall not connect any of its own equipment to a State LAN/WAN without prior written approval by the State. The Contractor shall complete any necessary paperwork as directed and coordinated with the Contract Monitor to obtain approval by the State to connect Contractor-owned equipment to a State LAN/WAN.

The Contractor shall:

- 1) Implement administrative, physical, and technical safeguards to protect State data that are no less rigorous than accepted industry best practices for information security such as those listed below (see **Section 3.7.5**);
- 2) Ensure that all such safeguards, including the manner in which State data is collected, accessed, used, stored, processed, disposed of and disclosed,

comply with applicable data protection and privacy laws as well as the terms and conditions of the Contract; and

- 3) The Contractor, and Contractor Personnel, shall (i) abide by all applicable federal, State and local laws, rules and regulations concerning security of Information Systems and Information Technology and (ii) comply with and adhere to the State IT Security Policy and Standards as each may be amended or revised from time to time. Updated and revised versions of the State IT Policy and Standards are available online at: [www.doit.maryland.gov](http://www.doit.maryland.gov) – keyword: Security Policy.

### 3.7.5 Data Protection and Controls

- A. Contractor shall ensure a secure environment for all State data and any hardware and software (including but not limited to servers, network and data components) provided or used in connection with the performance of the Contract and shall apply or cause application of appropriate controls so as to maintain such a secure environment (“Security Best Practices”). Such Security Best Practices shall comply with an accepted industry standard, such as the NIST cybersecurity framework.
- B. To ensure appropriate data protection safeguards are in place, the Contractor shall implement and maintain the following controls at all times throughout the Term of the Contract (the Contractor may augment this list with additional controls):
  - 1) Establish separate production, test, and training environments for systems supporting the services provided under the Contract and ensure that production data is not replicated in test or training environment(s) unless it has been previously anonymized or otherwise modified to protect the confidentiality of Sensitive Data elements. The Contractor shall ensure the appropriate separation of production and non-production environments by applying the data protection and control requirements listed in **Section 3.7.5**.
  - 2) Apply hardware and software hardening procedures as recommended by Center for Internet Security (CIS) guides <https://www.cisecurity.org/>, Security Technical Implementation Guides (STIG) <http://iase.disa.mil/Pages/index.aspx>, or similar industry best practices to reduce the systems’ surface of vulnerability, eliminating as many security risks as possible and documenting what is not feasible or not performed according to best practices. Any hardening practices not implemented shall be documented with a plan of action and milestones including any compensating control. These procedures may include but are not limited to removal of unnecessary software, disabling or removing unnecessary services, removal of unnecessary usernames or logins, and the deactivation of unneeded features in the Contractor’s system configuration files.
  - 3) Ensure that State data is not comingled with non-State data through the proper application of compartmentalization Security Measures.
  - 4) Apply data encryption to protect Sensitive Data at all times, including in transit, at rest, and also when archived for backup purposes. Unless otherwise directed, the Contractor is responsible for the encryption of all Sensitive Data.
  - 5) For all State data the Contractor manages or controls, data encryption shall be applied to such data in transit over untrusted networks.
  - 6) Encryption algorithms which are utilized for encrypting data shall comply with current Federal Information Processing Standards (FIPS), “Security Requirements for Cryptographic Modules”, FIPS PUB 140-2:

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<http://csrc.nist.gov/publications/fips/fips140-2/fips1402.pdf>

<http://csrc.nist.gov/groups/STM/cmvp/documents/140-1/1401vend.htm>

- 7) Enable appropriate logging parameters to monitor user access activities, authorized and failed access attempts, system exceptions, and critical information security events as recommended by the operating system and application manufacturers and information security standards, including Maryland Department of Information Technology's Information Security Policy.
- 8) Retain the aforementioned logs and review them at least daily to identify suspicious or questionable activity for investigation and documentation as to their cause and remediation, if required. The Department shall have the right to inspect these policies and procedures and the Contractor or subcontractor's performance to confirm the effectiveness of these measures for the services being provided under the Contract.
- 9) Ensure system and network environments are separated by properly configured and updated firewalls.
- 10) Restrict network connections between trusted and untrusted networks by physically or logically isolating systems from unsolicited and unauthenticated network traffic.
- 11) By default "deny all" and only allow access by exception.
- 12) Review, at least annually, the aforementioned network connections, documenting and confirming the business justification for the use of all service, protocols, and ports allowed, including the rationale or compensating controls implemented for those protocols considered insecure but necessary.
- 13) Perform regular vulnerability testing of operating system, application, and network devices. Such testing is expected to identify outdated software versions; missing software patches; device or software misconfigurations; and to validate compliance with or deviations from the security policies applicable to the Contract. Contractor shall evaluate all identified vulnerabilities for potential adverse effect on security and integrity and remediate the vulnerability no later than 30 days following the earlier of vulnerability's identification or public disclosure, or document why remediation action is unnecessary or unsuitable. The Department shall have the right to inspect the Contractor's policies and procedures and the results of vulnerability testing to confirm the effectiveness of these measures for the services being provided under the Contract.
- 14) Enforce strong user authentication and password control measures to minimize the opportunity for unauthorized access through compromise of the user access controls. At a minimum, the implemented measures should be consistent with the most current Maryland Department of Information Technology's Information Security Policy (<http://doit.maryland.gov/support/Pages/SecurityPolicies.aspx>), including specific requirements for password length, complexity, history, and account lockout.
- 15) Ensure State data is not processed, transferred, or stored outside of the United States ("U.S."). The Contractor shall provide its services to the State and the State's end users solely from data centers in the U.S. Unless granted an exception in writing by the State, the Contractor shall not allow Contractor Personnel to store State data on portable devices, including personal computers, except for devices that are used and kept only at its U.S. data centers. The Contractor shall permit its Contractor Personnel to access State data remotely only as required to provide technical support.

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- 16) Ensure Contractor's Personnel shall not connect any of its own equipment to a State LAN/WAN without prior written approval by the State, which may be revoked at any time for any reason. The Contractor shall complete any necessary paperwork as directed and coordinated with the Contract Monitor to obtain approval by the State to connect Contractor-owned equipment to a State LAN/WAN.
- 17) Ensure that anti-virus and anti-malware software is installed and maintained on all systems supporting the services provided under the Contract; that the anti-virus and anti-malware software is automatically updated; and that the software is configured to actively scan and detect threats to the system for remediation. The Contractor shall perform routine vulnerability scans and take corrective actions for any findings.
- 18) Conduct regular external vulnerability testing designed to examine the service provider's security profile from the Internet without benefit of access to internal systems and networks behind the external security perimeter. Evaluate all identified vulnerabilities on Internet-facing devices for potential adverse effect on the service's security and integrity and remediate the vulnerability promptly or document why remediation action is unnecessary or unsuitable. The Department shall have the right to inspect these policies and procedures and the performance of vulnerability testing to confirm the effectiveness of these measures for the services being provided under the Contract.

**3.7.6 Security Incident Response**

- A. The Contractor shall notify the Department in accordance with **Section 3.7.7** when any Contractor system that may access, process, or store State data or State systems experiences a Security Incident or a Data Breach as follows:
  - 1) notify the Department within twenty-four (24) hours of the discovery of a Security Incident by providing notice via written or electronic correspondence to the Contract Monitor, Department chief information officer and Department chief information security officer;
  - 2) notify the Department within two (2) hours if there is a threat to Contractor's solution as it pertains to the use, disclosure, and security of State data; and
  - 3) provide written notice to the Department within one (1) Business Day after Contractor's discovery of unauthorized use or disclosure of State data and thereafter all information the State (or Department) requests concerning such unauthorized use or disclosure.
- B. Contractor's notice shall identify:
  - 1) the nature of the unauthorized use or disclosure;
  - 2) the State data used or disclosed,
  - 3) who made the unauthorized use or received the unauthorized disclosure;
  - 4) what the Contractor has done or shall do to mitigate any deleterious effect of the unauthorized use or disclosure; and
  - 5) what corrective action the Contractor has taken or shall take to prevent future similar unauthorized use or disclosure.
  - 6) The Contractor shall provide such other information, including a written report, as reasonably requested by the State.
- C. The Contractor may need to communicate with outside parties regarding a Security Incident, which may include contacting law enforcement, fielding media inquiries and seeking external expertise as

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mutually agreed upon, defined by law or contained in the Contract. Discussing Security Incidents with the State should be handled on an urgent as-needed basis, as part of Contractor communication and mitigation processes as mutually agreed upon, defined by law or contained in the Contract.

- D. The Contractor shall comply with all applicable laws that require the notification of individuals in the event of unauthorized release of State data or other event requiring notification, and, where notification is required, assume responsibility for informing all such individuals in accordance with applicable law and to indemnify and hold harmless the State (or Department) and its officials and employees from and against any claims, damages, and actions related to the event requiring notification.

### **3.7.7 Data Breach Responsibilities**

- A. If the Contractor reasonably believes or has actual knowledge of a Data Breach, the Contractor shall, unless otherwise directed:
- 1) Notify the appropriate State-identified contact within 24 hours by telephone in accordance with the agreed upon security plan or security procedures unless a shorter time is required by applicable law;
  - 2) Cooperate with the State to investigate and resolve the data breach;
  - 3) Promptly implement commercially reasonable remedial measures to remedy the Data Breach; and
  - 4) Document responsive actions taken related to the Data Breach, including any post-incident review of events and actions taken to make changes in business practices in providing the services.
- B. If a Data Breach is a direct result of the Contractor's breach of its Contract obligation to encrypt State data or otherwise prevent its release, the Contractor shall bear the costs associated with (1) the investigation and resolution of the data breach; (2) notifications to individuals, regulators or others required by State law; (3) a credit monitoring service required by State or federal law; (4) a website or a toll-free number and call center for affected individuals required by State law; and (5) complete all corrective actions as reasonably determined by Contractor based on root cause; all [(1) through (5)] subject to the Contract's limitation of liability.

3.7.8 The State shall, at its discretion, have the right to review and assess the Contractor's compliance to the security requirements and standards defined in the Contract.

3.7.9 Provisions in **Sections 3.7.1 – 3.7.8** shall survive expiration or termination of the Contract. Additionally, the Contractor shall flow down the provisions of **Sections 3.7.4-3.7.8** (or the substance thereof) in all subcontracts.

### **3.8 Problem Escalation Procedure**

3.8.1 The Contractor must provide and maintain a Problem Escalation Procedure (PEP) for both routine and emergency situations. The PEP must state how the Contractor will address problem situations as they occur during the performance of the Contract, especially problems that are not resolved to the satisfaction of the State within appropriate timeframes.

3.8.2 The Contractor shall provide contact information to the Contract Monitor, as well as to other State personnel as directed should the Contract Monitor not be available.

3.8.3 The Contractor shall provide the PEP no later than ten (10) Business Days after notice of recommended award or after the date of the Notice to Proceed, whichever is earlier. The PEP, including any revisions

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thereto, must also be provided within ten (10) Business Days after the start of each Contract year and within ten (10) Business Days after any change in circumstance which changes the PEP. The PEP shall detail how problems with work under the Contract will be escalated in order to resolve any issues in a timely manner. The PEP shall include:

1. The process for establishing the existence of a problem;
2. Names, titles, and contact information for progressively higher levels of personnel in the Contractor's organization who would become involved in resolving a problem;
3. For each individual listed in the Contractor's PEP, the maximum amount of time a problem will remain unresolved with that individual before the problem escalates to the next contact person listed in the Contractor's PEP;
4. Expedited escalation procedures and any circumstances that would trigger expediting them;
5. The method of providing feedback on resolution progress, including the frequency of feedback to be provided to the State;
6. Contact information for persons responsible for resolving issues after normal business hours (e.g., evenings, weekends, holidays) and on an emergency basis; and
7. A process for updating and notifying the Contract Monitor of any changes to the PEP.

3.8.4 Nothing in this section shall be construed to limit any rights of the Contract Monitor or the State which may be allowed by the Contract or applicable law.

### **3.9 SOC 2 Type 2 Audit Report**

A SOC 2 Type 2 Report is not a Contractor requirement for this Contract.

### **3.10 Work Orders**

THIS SECTION IS INAPPLICABLE TO THIS IFB.

### **3.11 Additional Clauses**

In accordance with BPW Advisory 1995-1 item 7.b, in the event there are unspent funds remaining on the Contract, prior to the Contract's expiration date the Procurement Officer may modify the Contract to extend the Contract beyond its expiration date for a period up to, but not exceeding, one-third of the base term of the Contract (e.g., eight-month extension on a two-year contract) for the performance of work within the Contract's scope of work. Notwithstanding anything to the contrary, no funds may be added to the Contract in connection with any such extension.

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## 4 Procurement Instructions

### 4.1 Pre-Bid Conference

- 4.1.1 A pre-Bid conference (Conference) will be held at the date, time, and location indicated on the Key Information Summary Sheet.
- 4.1.2 Attendance at the Conference is not mandatory, but all interested parties are encouraged to attend in order to facilitate better preparation of their Bids. If the solicitation includes an MBE goal, failure to attend the Conference will be taken into consideration as part of the evaluation of a bidder's good faith efforts if there is a waiver request.
- 4.1.3 It is highly recommended that ALL Prime Contractors bring their intended subcontractors to the Conference/Site Visit to ensure that all parties understand the requirements of the contract and the MBE Goal.
- 4.1.4 MBE subcontractors are encouraged to attend the Conference to market their participation to potential prime contractors.
- 4.1.5 Following the Conference, the attendance record and summary of the Conference will be distributed via the same mechanism described for amendments and questions (see Section 4.2.1 eMMA).
- 4.1.6 Attendees should bring a copy of the solicitation and a business card to help facilitate the sign-in process.
- 4.1.7 In order to assure adequate seating and other accommodations at the Conference, please e-mail the Pre-Bid Conference Response Form (**Attachment A**) no later than the time and date indicated on the form. In addition, if there is a need for sign language interpretation or other special accommodations due to a disability, please notify the Procurement Officer at least five (5) Business Days prior to the Conference date. The Department will make a reasonable effort to provide such special accommodation.

### 4.2 eMaryland Marketplace Advantage (eMMA)

- 4.2.1 eMMA is the electronic commerce system for the State of Maryland. The IFB, Conference summary and attendance sheet, Bidders' questions and the Procurement Officer's responses, addenda, and other solicitation-related information will be made available via eMMA.
- 4.2.2 In order to receive a contract award, a vendor must be registered on eMMA. Registration is free. Go to <https://procurement.maryland.gov>, click on "Register" to begin the process, and then follow the prompts.

### 4.3 Questions

- 4.3.1 All questions, including concerns regarding any applicable MBE or VSBE participation goals, shall identify in the subject line the Solicitation Number and Title MDH/OPASS#20-18646 - Peer Review Services for the Maryland Board of Physicians), and shall be submitted in writing via e-mail to the Procurement Officer at least five (5) days prior to the Bid due date no later than the date and time specified the Key Information Summary Sheet. The Procurement Officer, based on the availability of time to research and communicate an answer, shall decide whether an answer can be given before the Bid due date.
- 4.3.2 Answers to all questions that are not clearly specific only to the requestor will be distributed via the same mechanism as for IFB amendments and posted on eMMA.
- 4.3.3 The statements and interpretations contained in responses to any questions, whether responded to verbally or in writing, are not binding on the Department unless it issues an amendment in writing.



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#### **4.4 Procurement Method**

A Contract will be awarded in accordance with the Competitive Sealed Bidding method under COMAR 21.05.02.

#### **4.5 Bid Due (Closing) Date and Time**

- 4.5.1 Bids, in the number and form set forth in **Section 5 Bid Format**, must be received by the Procurement Officer no later than the Bid due date and time indicated on the Key Information Summary Sheet in order to be considered.
- 4.5.2 Requests for extension of this date or time shall not be granted.
- 4.5.3 Bidders submitting Bids should allow sufficient delivery time to ensure timely receipt by the Procurement Officer. Except as provided in COMAR 21.05.02.10, Bids received after the due date and time listed in the Key Information Summary Sheet will not be considered.
- 4.5.4 The date and time of an e-mail submission is determined by the date and time of arrival in the e-mail address indicated on the Key Information Summary Sheet.
- 4.5.5 Bids may be modified or withdrawn by written notice received by the Procurement Officer before the time and date set forth in the Key Information Summary Sheet for receipt of Bids.
- 4.5.6 Bids will be opened publicly at the date and time indicated on the Key Information Summary Sheet.
- 4.5.7 Potential Bidders not responding to this solicitation are requested to submit the “No Bid Notice/Vendor Feedback” form, which includes company information and the reason for not responding (e.g., too busy, cannot meet mandatory requirements).

#### **4.6 Multiple or Alternate Bids**

Multiple or alternate Bids will not be accepted.

#### **4.7 Receipt, Opening and Recording of Bids**

- 4.7.1.1 Upon receipt, each Bid and any timely modification(s) to a Bid shall be stored in a secure place until the time and date set for bid opening. Before Bid opening, the State may not disclose the identity of any Bidder.
- 4.7.1.2 Bids shall be opened publicly, at the time, date and place designated in the IFB Key Information Summary Sheet (near the beginning of the solicitation, after the Title Page and Notice to Vendors). The name of each Bidder, the Total Bid Price, and such other information as is deemed appropriate shall be read aloud or otherwise made available and recorded at the time of bid opening.

#### **4.8 Confidentiality of Bids / Public Information Act Notice**

- 4.8.1 The Bidder should give specific attention to the clear identification of those portions of its Bid that it considers confidential and/or proprietary commercial information or trade secrets, and provide justification why such materials, upon request, should not be disclosed by the State under the Public Information Act, Md. Code Ann., General Provisions Article, Title 4. This information should be identified by page number and placed in the Transmittal Letter with the Bid.
- 4.8.2 The Bids shall be tabulated, or a Bid abstract made. The opened Bids shall be available for public inspection at a reasonable time after Bid opening, but in any case, before contract award, except to the extent the

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Bidder designates trade secrets or other proprietary data to be confidential as set forth in this solicitation. Material so designated as confidential shall accompany the Bid and shall be readily separable from the Bid in order to facilitate public inspection of the non-confidential portion of the Bid, including the Total Bid Price.

- 4.8.3 For requests for information made under the PIA, the Procurement Officer shall examine the Bids to determine the validity of any requests for nondisclosure of trade secrets and other proprietary data identified in writing. Nondisclosure is permissible only if approved by the Office of the Attorney General.

#### **4.9 Award Basis**

- 4.9.1 A Contract shall be awarded to the responsible Bidder(s) submitting a responsive Bid with the most favorable bid price or most favorable evaluated bid price (as referenced in COMAR 21.05.02.13) for providing the goods and services as specified in this IFB. Bidders must bid all line items. Partial or incomplete bids will be rejected unless otherwise stated in the solicitation. See IFB Section 6 for Bid evaluation and award information.
- 4.9.2 Award of this contract will not be final and complete until after: (1) the Contractor submits complete and satisfactory documentation required under the Contract and/or documentation required by the Procurement Officer; and (2) the Contract is signed by the Department following any required approvals of the Contract, including approval by the Board of Public Works, if such approval is required.

#### **4.10 Tie Bids**

Tie Bids will be decided pursuant to COMAR 21.05.02.14.

#### **4.11 Duration of Bids**

Bids submitted in response to this IFB are irrevocable for the latest of the following: 120 days following the Bid due date and time or the date any protest concerning this IFB is finally resolved. This period may be extended at the Procurement Officer's request only with the Bidder's written agreement.

#### **4.12 Revisions to the IFB**

- 4.12.1 If the IFB is revised before the due date for Bids, the Department shall post any addenda to the IFB on eMMA and shall endeavor to provide such addenda to all prospective Bidders that were sent this IFB or are otherwise known by the Procurement Officer to have obtained this IFB. It remains the responsibility of all prospective Bidders to check eMMA for any addenda issued prior to the submission of Bids.
- 4.12.2 Bidders shall acknowledge the receipt of all addenda to this IFB issued before the Bid due date.
- 4.12.3 Failure to acknowledge receipt of an addendum does not relieve the Bidder from complying with the terms, additions, deletions, or corrections set forth in the addendum, and may cause the Bid to be deemed not responsive.

#### **4.13 Cancellations**

- 4.13.1 The State reserves the right to cancel this IFB, accept or reject any and all Bids, in whole or in part, received in response to this IFB and to waive or permit the cure of minor irregularities.
- 4.13.2 In the event a government entity proposes and receives the recommendation for award, the procurement may be cancelled, and the award processed in accordance with COMAR 21.01.03.01.A(4).

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- 4.13.3 If the services that are the subject of the IFB are currently being provided under an interagency agreement with a public institution of higher education and the State determines that the services can be provided more cost effectively by the public institution of higher education, then the IFB may be cancelled in accordance with Md. Code Ann., State Finance and Procurement Art., § 3-207(b)(2).

#### **4.14 Incurred Expenses**

The State will not be responsible for any costs incurred by any Bidder in preparing and submitting a Bid or performing any other activities related to submitting a Bid in response to this solicitation.

#### **4.15 Protest/Disputes**

Any protest or dispute related to this solicitation or the Contract award shall be subject to the provisions of COMAR 21.10 (Administrative and Civil Remedies).

#### **4.16 Bidder Responsibilities**

- 4.16.1 Bidders must be able to provide all goods and services and meet all of the requirements requested in this solicitation and the successful Bidder shall be responsible for Contract performance including any subcontractor participation.
- 4.16.2 If applicable, subcontractors utilized in meeting the established MBE or VSBE participation goal(s) for this solicitation shall be identified as provided in the appropriate Attachment(s) to this IFB (see **Section 4.26** “MBE Participation Goal” and **Section 4.27** “VSBE Goal”).
- 4.16.3 If the Bidder is the subsidiary of another entity, all information submitted by the Bidder, including but not limited to references, financial reports, or experience and documentation (e.g. insurance policies, bonds, letters of credit) used to meet minimum qualifications, if any, shall pertain exclusively to the Bidder, unless the parent organization will guarantee the performance of the subsidiary. If applicable, the Bidder’s Bid shall contain an explicit statement, signed by an authorized representative of the parent organization, stating that the parent organization will guarantee the performance of the subsidiary.
- 4.16.4 A parental guarantee of the performance of the Bidder under this Section will not automatically result in crediting the Bidder with the experience or qualifications of the parent under any evaluation criteria pertaining to the actual Bidder’s experience and qualifications. Instead, the Bidder’s responsibility will be assessed to the extent to which the State determines that the experience and qualifications of the parent are applicable to and shared with the Bidder, any stated intent by the parent to be directly involved in the performance of the Contract, and the value of the parent’s participation as determined by the State.

#### **4.17 Acceptance of Terms and Conditions**

By submitting a Bid in response to this IFB, the Bidder, if selected for award, shall be deemed to have accepted the terms and conditions of this IFB and the Contract, attached hereto as Attachment M. Any exceptions to this IFB or the Contract must be raised prior to Bid submission. Changes to the solicitation, including the Bid Form or Contract, made by the Bidder may result in Bid rejection.

#### **4.18 Bid/Proposal Affidavit**

A Bid submitted by the Bidder must be accompanied by a completed Bid/Proposal Affidavit. A copy of this Affidavit is included as **Attachment C** of this IFB.

#### 4.19 Contract Affidavit

All Bidders are advised that if a Contract is awarded as a result of this solicitation, the successful Bidder will be required to complete a Contract Affidavit. A copy of this Affidavit is included for informational purposes as **Attachment N** of this IFB. This Affidavit must be provided within five (5) Business Days of notification of recommended award. For purposes of completing Section “B” of this Affidavit (Certification of Registration or Qualification with the State Department of Assessments and Taxation), a business entity that is organized outside of the State of Maryland is considered a “foreign” business.

#### 4.20 Compliance with Laws/Arrearages

By submitting a Bid in response to this IFB, the Bidder, if selected for award, agrees that it will comply with all federal, State, and local laws applicable to its activities and obligations under the Contract.

By submitting a response to this solicitation, each Bidder represents that it is not in arrears in the payment of any obligations due and owing the State, including the payment of taxes and employee benefits, and shall not become so in arrears during the term of the Contract if selected for Contract award.

#### 4.21 Verification of Registration and Tax Payment

Before a business entity can do business in the State, it must be registered with the State Department of Assessments and Taxation (SDAT). SDAT is located at State Office Building, Room 803, 301 West Preston Street, Baltimore, Maryland 21201. For registration information, visit <https://www.egov.maryland.gov/businessexpress>.

It is strongly recommended that any potential Bidder complete registration prior to the Bid due date and time. The Bidder’s failure to complete registration with SDAT may disqualify an otherwise successful Bidder from final consideration and recommendation for Contract award.

#### 4.22 False Statements

Bidders are advised that Md. Code Ann., State Finance and Procurement Article, § 11-205.1 provides as follows:

4.22.1.1 In connection with a procurement contract a person may not willfully:

1. Falsify, conceal, or suppress a material fact by any scheme or device.
2. Make a false or fraudulent statement or representation of a material fact.
3. Use a false writing or document that contains a false or fraudulent statement or entry of a material fact.

4.22.1.2 A person may not aid or conspire with another person to commit an act under **Section 4.22.1**.

4.22.1.3 A person who violates any provision of this section is guilty of a felony and on conviction is subject to a fine not exceeding \$20,000 or imprisonment not exceeding five (5) years or both.

#### 4.23 Payments by Electronic Funds Transfer

By submitting a Bid in response to this solicitation, the Bidder, if selected for award:

4.23.1.1 Agrees to accept payments by electronic funds transfer (EFT) unless the State Comptroller’s Office grants an exemption. Payment by EFT is mandatory for contracts exceeding \$200,000. The successful

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Bidder shall register using the COT/GAD X-10 Vendor Electronic Funds (EFT) Registration Request Form.

- 4.23.1.2 Any request for exemption must be submitted to the State Comptroller’s Office for approval at the address specified on the COT/GAD X-10 form, must include the business identification information as stated on the form, and must include the reason for the exemption. The COT/GAD X-10 form may be downloaded from the Comptroller’s website at: [http://comptroller.marylandtaxes.com/Vendor\\_Services/Accounting\\_Information/Static\\_Files/GAD\\_X10Form20150615.pdf](http://comptroller.marylandtaxes.com/Vendor_Services/Accounting_Information/Static_Files/GAD_X10Form20150615.pdf).

#### **4.24 Prompt Payment Policy**

This procurement and the Contract(s) to be awarded pursuant to this solicitation are subject to the Prompt Payment Policy Directive issued by the Governor’s Office of Small, Minority & Women Business Affairs (GOSBA) and dated August 1, 2008. Promulgated pursuant to Md. Code Ann., State Finance and Procurement Article, §§ 11-201, 13-205(a), and Title 14, Subtitle 3, and COMAR 21.01.01.03 and 21.11.03.01, the Directive seeks to ensure the prompt payment of all subcontractors on non-construction procurement contracts. The Contractor shall comply with the prompt payment requirements outlined in the Contract, Section 31 “Prompt Pay Requirements” (see **Attachment M**). Additional information is available on GOSBA’s website at: <http://www.gomdsmbiz.maryland.gov/documents/legislation/promptpaymentfaqs.pdf>.

#### **4.25 Electronic Procurements Authorized**

- 4.25.1 Under COMAR 21.03.05, unless otherwise prohibited by law, the Department may conduct procurement transactions by electronic means, including the solicitation, proposing, award, execution, and administration of a contract, as provided in Md. Code Ann., Maryland Uniform Electronic Transactions Act, Commercial Law Article, Title 21.
- 4.25.2 Participation in the solicitation process on a procurement contract for which electronic means has been authorized shall constitute consent by the Bidder to conduct by electronic means all elements of the procurement of that Contract which are specifically authorized under the solicitation or Contract. In the case of electronic transactions authorized by this IFB, electronic records and signatures by an authorized representative satisfy a requirement for written submission and signatures.
- 4.25.3 “Electronic means” refers to exchanges or communications using electronic, digital, magnetic, wireless, optical, electromagnetic, or other means of electronically conducting transactions. Also e-mail, internet-based communications, electronic funds transfer, specific electronic bidding platforms (e.g., <https://procurement.maryland.gov> and electronic data interchange.
- 4.25.4 In addition to specific electronic transactions specifically authorized in other sections of this solicitation (e.g., IFB § 4.23 describing payments by Electronic Funds Transfer), the following transactions are authorized to be conducted by electronic means on the terms as authorized in COMAR 21.03.05:
1. The Procurement Officer may conduct the procurement using eMMA, e-mail, or facsimile to issue:
    - 1) The IFB;
    - 2) Any amendments;
    - 3) Pre-Bid conference documents;
    - 4) Questions and responses;

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- 5) Communications regarding the solicitation or Bid to any Bidder or potential Bidder;
- 6) Notices of award selection or non-selection; and
- 7) The Procurement Officer's decision on any Bid protest or Contract claim.

The Bidder or potential Bidder may use e-mail to:

- 8) Ask questions regarding the solicitation;
- 9) Reply to any material received from the Procurement Officer by electronic means that includes a Procurement Officer's request or direction to reply by e-mail or facsimile, but only on the terms specifically approved and directed by the Procurement Officer and;
- 10) Submit a "No Bid Notice/Vendor Feedback Form" to the IFB.

The Procurement Officer, the Contract Monitor, and the Contractor may conduct day-to-day Contract administration, except as outlined in **Section 4.25.5** of this subsection, utilizing e-mail, facsimile, or other electronic means if authorized by the Procurement Officer or Contract Monitor.

4.25.5 The following transactions related to this procurement and any Contract awarded pursuant to it are **not authorized** to be conducted by electronic means:

- A. Submission of initial Bids
- B. Filing of bid protests;
- C. Filing of Contract claims;
- D. Submission of documents determined by the Department to require original signatures (e.g., Contract execution, Contract modifications); or
- E. Any transaction, submission, or communication where the Procurement Officer has specifically directed that a response from the Contractor or Bidder be provided in writing or hard copy.

4.25.6 Any facsimile or e-mail transmission is only authorized to the facsimile numbers or e-mail addresses for the identified person as provided in the solicitation, the Contract, or in the direction from the Procurement Officer or Contract Monitor.

#### 4.26 MBE Participation Goal

There is no MBE subcontractor participation goal for this procurement.

#### 4.27 VSBE Goal

There is no VSBE participation goal for this procurement.

#### 4.28 Living Wage Requirements

1. Maryland law requires that contractors meeting certain conditions pay a living wage to covered employees on State service contracts over \$100,000. Maryland Code Ann., State Finance and Procurement Article, § 18-101 et al. The Commissioner of Labor and Industry at the Department of Labor, Licensing and Regulation requires that a contractor subject to the Living Wage law submit payroll records for covered employees and a signed statement indicating that it paid a living wage to covered

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employees; or receive a waiver from Living Wage reporting requirements. See COMAR 21.11.10.05.

If subject to the Living Wage law, Contractor agrees that it will abide by all Living Wage law requirements, including but not limited to reporting requirements in COMAR 21.11.10.05. Contractor understands that failure of Contractor to provide such documents is a material breach of the terms and conditions and may result in Contract termination, disqualification by the State from participating in State contracts, and other sanctions. Information pertaining to reporting obligations may be found by going to the Maryland Department of Labor, Licensing and Regulation (DLLR) website <http://www.dllr.state.md.us/labor/prev/livingwage.shtml>.

Additional information regarding the State's living wage requirement is contained in **Attachment F**. Bidders must complete and submit the Maryland Living Wage Requirements Affidavit of Agreement (**Attachment F-1**) with their Bids. If the Bidder fails to complete and submit the required documentation, the State may determine the Bidder to not be responsible under State law.

Contractors and subcontractors subject to the Living Wage Law shall pay each covered employee at least the minimum amount set by law for the applicable Tier area. The specific living wage rate is determined by whether a majority of services take place in a Tier 1 Area or a Tier 2 Area of the State. The specific Living Wage rate is determined by whether a majority of services take place in a Tier 1 Area or Tier 2 Area of the State.

- 1) The Tier 1 Area includes Montgomery, Prince George's, Howard, Anne Arundel and Baltimore Counties, and Baltimore City. The Tier 2 Area includes any county in the State not included in the Tier 1 Area. In the event that the employees who perform the services are not located in the State, the head of the unit responsible for a State Contract pursuant to §18-102(d) of the State Finance and Procurement Article shall assign the tier based upon where the recipients of the services are located. If the Contractor provides more than 50% of the services from an out-of-State location, the State agency determines the wage tier based on where the majority of the service recipients are located. In this circumstance, the Contract will be determined to be a Tier (enter "1" or "2," depending on where the majority of the service recipients are located) Contract.
- 2) The Contract will be determined to be a Tier 1 Contract or a Tier 2 Contract depending on the location(s) from which the Contractor provides 50% or more of the services. The Bidder must identify in its Bid the location(s) from which services will be provided, including the location(s) from which 50% or more of the Contract services will be provided.
- 3) If the Contractor provides 50% or more of the services from a location(s) in a Tier 1 jurisdiction(s) the Contract will be a Tier 1 Contract.
- 4) If the Contractor provides 50% or more of the services from a location(s) in a Tier 2 jurisdiction(s), the Contract will be a Tier 2 Contract.

If the Contractor provides more than 50% of the services from an out-of-State location, the State agency determines the wage tier based on where the majority of the service recipients are located. See COMAR 21.11.10.07.

The Bidder shall identify in the Bid the location from which services will be provided.

**NOTE:** Whereas the Living Wage may change annually, the Contract price will not change because of a Living Wage change. The Contractor shall be responsible for any wage/rate increase during the term of the Contract and such increase may not be passed on to the State.

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#### 4.29 Federal Funding Acknowledgement

This Contract does not contain federal funds.

#### 4.30 Conflict of Interest Affidavit and Disclosure

- 4.30.1 The Bidder shall complete and sign the Conflict of Interest Affidavit and Disclosure (**Attachment H**) and submit it with its Bid.
- 4.30.2 By submitting a Conflict of Interest Affidavit and Disclosure, the Contractor shall be construed as certifying all Contractor Personnel and subcontractors are also without a conflict of interest as defined in COMAR 21.05.08.08A.
- 4.30.3 Additionally, a Contractor has an ongoing obligation to ensure that all Contractor Personnel are without conflicts of interest prior to providing services << under OR individual Task Orders issued under >> the Contract. For policies and procedures applying specifically to Conflict of Interests, the Contract is governed by COMAR 21.05.08.08.
- 4.30.4 Participation in Drafting of Specifications: Disqualifying Event: Bidders are advised that Md. Code Ann. State Finance and Procurement Article §13-212.1(a) provides generally that “an individual who assists an executive unit in the drafting of specifications, an invitation for bids, a request for proposals for a procurement, or the selection or award made in response to an invitation for bids or a request for proposals, or a person that employs the individual, may not: (1) submit a bid or proposal for that procurement; or (2) assist or represent another person, directly or indirectly, who is submitting a bid or proposal for that procurement.” Any Bidder submitting a Bid in violation of this provision shall be classified as “not responsible.”

#### 4.31 Non-Disclosure Agreement

##### 4.31.1 Non-Disclosure Agreement (Bidder)

THIS SECTION IS NOT APPLICABLE TO THIS IFB.

##### 4.31.2 Non-Disclosure Agreement (Contractor)

All Bidders are advised that this solicitation and any Contract(s) are subject to the terms of the Non-Disclosure Agreement (NDA) contained in this solicitation as **Attachment I**. This Agreement must be provided within five (5) Business Days of notification of recommended award; however, to expedite processing, it is suggested that this document be completed and submitted with the Bid.

#### 4.32 HIPAA - Business Associate Agreement

Based on the determination by the Department that the functions to be performed in accordance with this solicitation constitute Business Associate functions as defined in the Health Insurance Portability and Accountability Act of 1996 (HIPAA), the recommended awardee shall execute a Business Associate Agreement as required by HIPAA regulations at 45 C.F.R. §164.500 *et seq.* and set forth in **Attachment J**. This Agreement must be provided within five (5) Business Days of notification of proposed Contract award. However, to expedite processing, it is suggested that this document be completed and submitted with the Bid. Should the Business Associate Agreement not be submitted upon expiration of the five (5) Business Day period as required by this solicitation, the Procurement Officer, upon review of the Office of the Attorney General and approval of the Secretary, may withdraw the recommendation for award and make the award to the responsible Bidder with the next highest overall-ranked Bid.



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#### **4.33 Nonvisual Access**

This solicitation does not contain Information Technology (IT) provisions requiring Nonvisual Access.

#### **4.34 Mercury and Products That Contain Mercury**

This solicitation does not include the procurement of products known to likely include mercury as a component.

#### **4.35 Location of the Performance of Services Disclosure**

The Bidder is required to complete the Location of the Performance of Services Disclosure. A copy of this Disclosure is included as **Attachment L**. The Disclosure must be provided with the Bid.

#### **4.36 Department of Human Services (DHS) Hiring Agreement**

All Bidders are advised that if a Contract is awarded as a result of this solicitation, the successful Bidder will be required to complete a DHS Hiring Agreement. A copy of this Agreement is included as **Attachment O**. This Agreement must be provided within five (5) Business Days of notification of recommended award.

#### **4.37 Small Business Reserve (SBR) Procurement**

This solicitation is not designated as a Small Business Reserve (SBR) Procurement.

#### **4.38 Maryland Healthy Working Families Act Requirements**

On February 11, 2018, the Maryland Healthy Working Families Act went into effect. All offerors should be aware of how this Act could affect your potential contract award with the State of Maryland. See the Department of Labor, Licensing and Regulations web site for Maryland Healthy Working Families Act Information: <http://dllr.maryland.gov/paidleave/>.

## 5 Bid Format

### 5.1 One Part Submission

Each Bidder shall submit its Bid with all Required Bid Submissions (see IFB Section 5.4) in a single sealed package.

### 5.2 Labeling

Each Bidder is required to label the sealed Bid with the IFB title and number, name and address of the Bidder, and closing date and time for receipt of the Bids.

### 5.3 Bid Price Form

The Bid shall contain all price information in the format specified on the Bid Form. The Bidder shall complete the Bid Form only as provided in the Bid Pricing Instructions and the Bid Form. Do not amend, alter, or leave blank any items on the Bid Form or include additional clarifying or contingent language on or attached to the Bid Form. Failure to adhere to any of these instructions may result in the Bid being determined to be non-responsive and rejected by the Department.

### 5.4 Required Bid Submission

A Bidder shall include the following with its Bid:

5.4.1 **Bidder Information Sheet** (see **Appendix 2**)

5.4.2 **Acknowledgement** of all addenda to this IFB.

5.4.3 **Minimum Qualifications Documentation.** The Bidder shall submit any Minimum Qualifications documentation that may be required, as set forth in IFB **Section 1**. If references are required in **IFB Section 1**, those references shall be submitted in this section and shall contain the information described in both **Section 1**.

5.4.4 **Completed Required Attachments.** Submit three (3) copies of each with original signatures:

- 1) Completed Bid Form (**Attachment B**).
- 2) Completed Bid Affidavit (**Attachment C**).
- 3) Completed Maryland Living Wage Requirements Affidavit of Agreement (**Attachment F-1**).

5.4.5 **Additional Document \*If Required.** Submit three (3) copies of each with original signatures, if required. \*See appropriate IFB section to determine whether the document is required for this procurement.

- 1) A Signed Statement from the Bidder's Parent Organization Guaranteeing Performance of the Bidder. \*see **IFB section 4.16**
- 2) Completed MDOT Certified MBE Utilization and Fair Solicitation Affidavit (**Attachment D-1A**) \*see **IFB section 4.26**
- 3) Completed Federal Funds Attachment (**Attachment G**) \*see **IFB section 4.29**
- 4) Completed Conflict of Interest Affidavit and Disclosure (**Attachment H**) \*see **IFB section 4.30**
- 5) Completed Mercury Affidavit (**Attachment K**) \*see **IFB section 4.34**
- 6) Completed Veteran-Owned Small Business Enterprise (VSBE) Utilization Affidavit and Prime/Subcontractor Participation Schedule (**Attachment E-1**) \*see **IFB section 4.27**

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- 7) Completed Location of the Performance of Services Disclosure (**Attachment L**) \*see **IFB section 4.35**.

5.4.6 **References.** At least three (3) references are requested from customers who are capable of documenting the Bidder's ability to provide the goods and services specified in this IFB. References used to meet any Minimum Qualifications (see **IFB Section 1**) may be used to meet this request. Each reference shall be from a client for whom the Bidder has provided goods and services within the past five (5) years and shall include the following information:

- 1) Name of client organization;
- 2) Name, title, telephone number, and e-mail address, if available, of point of contact for client organization; and
- 3) Value, type, duration, and description of goods and services provided.

The Department reserves the right to request additional references or utilize references not provided by the Bidder. Points of contact must be accessible and knowledgeable regarding Bidder performance.

5.4.7 **List of Current or Prior State Contracts.** Provide a list of all contracts with any entity of the State of Maryland for which the Bidder is currently performing goods and services or for which services have been completed within the last five (5) years. For each identified contract, the Bidder is to provide:

- 1) The State contracting entity;
- 2) A brief description of the goods and services provided;
- 3) The dollar value of the contract;
- 4) The term of the contract;
- 5) The State employee contact person (name, title, telephone number, and, if possible, e-mail address); and
- 6) Whether the contract was terminated before the end of the term specified in the original contract, including whether any available renewal option was not exercised.

Information obtained regarding the Bidder's level of performance on State contracts will be used by the Procurement Officer to determine the responsibility of the Bidder and considered as part of the experience and past performance evaluation criteria of the IFB.

5.4.8 **Financial Capability.** The Bidder must include in its Bid a commonly-accepted method to prove its fiscal integrity. If available, the Bidder shall include Financial Statements, preferably a Profit and Loss (P&L) statement and a Balance Sheet, for the last two (2) years (independently audited preferred).

In addition, the Bidder may supplement its response to this Section by including one or more of the following with its response:

- 1) Dun & Bradstreet Rating;
- 2) Standard and Poor's Rating;
- 3) Lines of credit;
- 4) Evidence of a successful financial track record; and
- 5) Evidence of adequate working capital.

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- 5.4.9 **Certificate of Insurance.** The Bidder shall provide a copy of its current certificate of insurance showing the types and limits of insurance in effect as of the Bid submission date. The current insurance types and limits do not have to be the same as described in **Section 3.6**. See **Section 3.6** for the required insurance certificate submission for the apparent awardee.
- 5.4.10 **Subcontractors.** The Bidder shall provide a complete list of all subcontractors that will work on the Contract if the Bidder receives an award, including those utilized in meeting the MBE and VSBE subcontracting goal(s), if applicable. This list shall include a full description of the duties each subcontractor will perform and why/how each subcontractor was deemed the most qualified for this project. If applicable, subcontractors utilized in meeting the established MBE or VSBE participation goal(s) for this solicitation shall be identified as provided in the appropriate attachment(s) of this IFB.
- 5.4.11 **Legal Action Summary.** This summary shall include:
- 1) A statement as to whether there are any outstanding legal actions or potential claims against the Bidder and a brief description of any action;
  - 2) A brief description of any settled or closed legal actions or claims against the Bidder over the past five (5) years;
  - 3) A description of any judgments against the Bidder within the past five (5) years, including the court, case name, complaint number, and a brief description of the final ruling or determination; and
  - 4) In instances where litigation is ongoing and the Bidder has been directed not to disclose information by the court, provide the name of the judge and location of the court.

## 5.5 Delivery

- 5.5.1 Bidders may either mail or hand-deliver Bids.
- 5.5.2 For U.S. Postal Service deliveries, any bid that has been received at the appropriate mail room, or typical place of mail receipt for the respective procuring unit by the time and date listed in the IFB will be deemed to be timely. If a Bidder chooses to use the U.S. Postal Service for delivery, the Department recommends that it use Express Mail, Priority Mail, or Certified Mail or another form for which both the date and time of receipt can be independently verified by the Department. It could take several days for an item sent by first class mail to make its way by normal internal mail to the procuring unit and a Bidder using first class mail will not be able to prove a timely delivery at the mailroom.
- 5.5.3 Hand-delivery includes delivery by commercial carrier acting for the Bidder. For any type of direct (non-mail) delivery, a Bidder is advised to secure a dated, signed, and time-stamped (or otherwise indicated) receipt of delivery.

## 5.6 Documents Required upon Notice of Recommendation for Contract Award

Upon receipt of a notification of recommendation for contract award, the following documents shall be completed and submitted by the recommended awardee within five (5) business days, unless noted otherwise. Submit three (3) copies of each of the following documents:

- A. Signed contract (**Attachment M**),
- B. Completed Contract Affidavit (**Attachment N**),
- C. Completed MBE Attachments D-2 and D-3A and B, within ten (10) Business days, if applicable; see **IFB Section 4.26**,

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- D. MBE waiver justification within ten (10) Business days (see MBE Waiver Guidance and forms in **Attachments D-1B and D-1C**), if a waiver has been requested (if applicable; see **IFB Section 4.26**),
- E. Completed VSBE **Attachment E-2**, if applicable see **IFB Section 4.27**,
- F. Signed Non-Disclosure Agreement (**Attachment I**), if applicable; see **IFB Section 4.31**,
- G. Signed HIPAA Business Associate Agreement (**Attachment J**), if applicable; see **IFB Section 4.32**,
- H. Completed DHS Hiring Agreement (**Attachment O**) if applicable see **IFB Section 4.36**, and
- I. Copy of a current certificate of insurance with the prescribed limits set forth in **IFB Section 3.6** “Insurance Requirements,” listing the State as an Additional Insured, if applicable; see **IFB Section 3.6**.

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## 6 Bid Evaluation and Award

### 6.1 Bid Evaluation Criteria

The Bids will be evaluated based on the Total Bid Price, as per COMAR 21.02.13. All responsible Bidders will be ranked from the lowest (most advantageous) to the highest (least advantageous) price based on the Total Bid Price as submitted on the **Attachment B** - Bid Form.

### 6.2 Reciprocal Preference

6.2.1 Although Maryland law does not authorize procuring agencies to favor resident Bidders in awarding procurement contracts, many other states do grant their resident businesses preferences over Maryland contractors. COMAR 21.05.01.04 permits procuring agencies to apply a reciprocal preference under the following conditions:

- a) The Maryland resident business is a responsible Bidder;
- b) The lowest responsive Bid is from a responsible Bidder whose principal office, or principal base of operations is in another state;
- c) The other state gives a preference to its resident businesses through law, policy, or practice; and
- d) The preference does not conflict with a federal law or grant affecting the procurement Contract.

6.2.2 The preference given shall be identical to the preference that the other state, through law, policy, or practice gives to its resident businesses.

### 6.3 Award Determination

Award will be made to the responsible Bidder who submits to the State the responsive Bid that has the lowest Total Bid Price.

### 6.4 Documents Required upon Notice of Recommendation for Contract Award

Upon receipt of a Notification of Recommendation for Contract award, the apparent awardee shall complete and furnish the documents and attestations as directed in Table 1 of **Section 7 – IFB Attachments and Appendices**.

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**7 IFB ATTACHMENTS AND APPENDICES**

**Instructions Page**

A Bid submitted by the Bidder must be accompanied by the completed forms and/or affidavits identified as “with Bid” in the “When to Submit” column in Table 1 below. All forms and affidavits applicable to this IFB, including any applicable instructions and/or terms, are identified in the “Applies” and “Label” columns in Table 1.

For documents required as part of the Bid:

1. For e-mail submissions, submit one (1) copy of each with signatures.
2. For paper submissions, submit two (2) copies of each with original signatures. All signatures must be clearly visible.

All Bidders are advised that if a Contract is awarded as a result of this solicitation, the successful Bidder will be required to complete certain forms and affidavits after notification of recommended award. The list of forms and affidavits that must be provided is described in Table 1 below in the “When to Submit” column.

For documents required after award, submit three (3) copies of each document within the appropriate number of days after notification of recommended award, as listed in Table 1 below in the “When to Submit” column.

**Table 1: IFB ATTACHMENTS AND APPENDICES**

| <b>Applies?</b> | <b>When to Submit</b>                    | <b>Label</b> | <b>Attachment Name</b>  |
|-----------------|--|--------------|---|
| Y               | Before Bid                               | A            | Pre-Bid Conference Response Form  |
| Y               | With Bid                                 | B            | Bid Instructions and Form   |
| Y               | With Bid                                 | C            | Bid/Proposal Affidavit (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentC-Bid_Proposal-Affidavit.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentC-Bid_Proposal-Affidavit.pdf</a> )   |
| N               | With Bid                                 | D            |   |
| N               | 10 Business Days after recommended award | D            |   |
| N               | As directed in forms                     | D            |   |
| N               | With Bid                                 | E            |   |
| N               | 5 Business Days after recommended award  | E            |   |
| N               | With Bid                                 | F            | Maryland Living Wage Requirements for Service Contracts and Affidavit of Agreement (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentF-LivingWageAffidavit.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentF-LivingWageAffidavit.pdf</a> ) |

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| Applies?          | When to Submit  | Label | Attachment Name   |
|-------------------|---|-------|---|
| N                 | With Bid  | G     |   |
| Y                 | With Bid  | H     | Conflict of Interest Affidavit and Disclosure (see link at <a href="https://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/AttachmentH-Conflict-of-InterestAffidavit.pdf">https://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/AttachmentH-Conflict-of-InterestAffidavit.pdf</a> )          |
| Y                 | 5 Business Days after recommended award – However, suggested with Bid | I     | Non-Disclosure Agreement (Contractor) (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-I-Non-DisclosureAgreementContractor.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-I-Non-DisclosureAgreementContractor.pdf</a> )          |
| Y                 | 5 Business Days after recommended award – However, suggested with Bid | J     | HIPAA Business Associate Agreement (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-J-HIPAABusinessAssociateAgreement.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-J-HIPAABusinessAssociateAgreement.pdf</a> )                 |
| N                 | With Bid  | K     |   |
| Y                 | With Bid  | L     | Location of the Performance of Services Disclosure (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-L-PerformanceofServicesDisclosure.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-L-PerformanceofServicesDisclosure.pdf</a> ) |
| Y                 | 5 Business Days after recommended award                               | M     | Sample Contract (included in this IFB)  |
| Y                 | 5 Business Days after recommended award                               | N     | Contract Affidavit (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-N-ContractAffidavit.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-N-ContractAffidavit.pdf</a> )   |
| Y                 | 5 Business Days after recommended award                               | O     | DHS Hiring Agreement (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-O-DHSHiringAgreement.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-O-DHSHiringAgreement.pdf</a> )   |
| <b>Appendices</b> |   |       |   |
| Y                 | n/a   | 1     | Abbreviations and Definitions (included in this IFB)  |
| Y                 | With Bid  | 6     | Bidder Information Sheet (see link at <a href="http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Appendix2-Bidder_OfferorInformationSheet.pdf">http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Appendix2-Bidder_OfferorInformationSheet.pdf</a> )                                   |
| N                 | Before Bid, as directed in the IFB.                                   | 3     |   |



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| <b>Applies?</b>               | <b>When to Submit</b>                    | <b>Label</b> | <b>Attachment Name</b>   |
|-------------------------------|--|--------------|--|
|                               |  |              |  |
|                               |  |              |  |
|                               |  |              |  |
|                               |  |              |  |
|                               |  |              |  |
| <b>Additional Submissions</b> |  |              |  |
| <b>Applies?</b>               | <b>When to Submit</b>                    | <b>Label</b> | <b>Document Name</b>   |
| Y                             | 5 Business Days after recommended award  |              | Evidence of meeting insurance requirements (see <b>Section 3.6</b> ); 1 copy |
| Y                             | 10 Business Days after recommended award |              | PEP; 1 copy  |
| Y                             | 10 Business Days after recommended award |              | Fully executed Escrow Agreement; 1 copy                                      |
| N                             | With deliverables                        | --           | Not Applicable   |

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Attachment A. Pre-Bid Conference Response Form

Solicitation Number MDH/OPASS#20-18646

Peer Review Services for the Maryland Board of Physicians

A Pre-Bid conference will be held on February 27, 2020 @ 1:00 p.m. local time, at the Maryland Department of Health, 201 W. Preston St., Room L1 Baltimore, Maryland 21201.

Please return this form by <<preBidFormDue>>, advising whether or not your firm plans to attend. The completed form should be returned via e-mail or fax to the Procurement Officer at the contact information below:

Calvin T. Johnson
Contract Officer
Office of Procurement and Support Services
201W. Preston Street, Room 416
Baltimore, MD 21201
Phone Number: (410) 767-8216
Fax Number: (410) 333-5958
E-mail: dhmh.solicitationquestions@maryland.gov

Please indicate:

- Yes, the following representatives will be in attendance.
Attendees (Check the IFB for limits to the number of attendees allowed):
1.
2.
3.
No, we will not be in attendance.

Please specify whether any reasonable accommodations are requested (see IFB § 4.1“Pre-Bid conference”):

Bidder:
Bidder Name (please print or type)
By:
Signature/Seal
Printed Name:
Printed Name
Title:
Title
Date:
Date

Directions to the Pre-Bid Conference

<<preBidDirections>>

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**Attachment B. Bid Instructions & Form**

**B-1 Bid Instructions**

In order to assist each Bidder in the preparation of its Bid and to comply with the requirements of this solicitation, Bid Instructions and a Bid Form have been prepared. Each Bidder shall submit its Bid on the Bid Form in accordance with the instructions on the Bid Form and as specified herein. Do not alter the Bid Form or the Bid may be determined to be not reasonably susceptible of being selected for award. The Bid Form is to be signed and dated, where requested, by an individual who is authorized to bind the Bidder to the prices entered on the Bid Form.

The Bid Form is used to calculate the Bidder's TOTAL BID PRICE. Follow these instructions carefully when completing your Bid Form:

- A) All Unit and Extended Prices must be clearly entered in dollars and cents, e.g., \$24.15. Make your decimal points clear and distinct.
- B) All Unit Prices must be the actual price per unit the State will pay for the specific item or service identified in this IFB and may not be contingent on any other factor or condition in any manner.
- C) All calculations shall be rounded to the nearest cent, e.g., .344 shall be .34 and .345 shall be .35.
- D) Any goods or services required through this IFB and proposed by the vendor at **No Cost to the State** must be clearly entered in the Unit Price, if appropriate, and Extended Price with **\$0.00**.
- E) Every blank in every Bid Form shall be filled in. Any changes or corrections made to the Bid Form by the Bidder prior to submission shall be initialed and dated.
- F) Except as instructed on the Bid Form, nothing shall be entered on or attached to the Bid Form that alters or proposes conditions or contingencies on the prices. Alterations and/or conditions may render the Bid not reasonably susceptible of being selected for award.
- G) It is imperative that the prices included on the Bid Form have been entered correctly and calculated accurately by the Bidder and that the respective total prices agree with the entries on the Bid Form. Any incorrect entries or inaccurate calculations by the Bidder will be treated as provided in COMAR 21.05.03.03.F, and may cause the Bid to be rejected.
- H) If option years are included, Bidders must submit pricing for each option year. Any option to renew will be exercised at the sole discretion of the State and comply with all terms and conditions in force at the time the option is exercised. If exercised, the option period shall be for a period identified in the IFB at the prices entered in the Bid Form.
- I) All Bid prices entered below are to be fully loaded prices that include all costs/expenses associated with the provision of services as required by the IFB. The Bid price shall include, but is not limited to, all: labor, profit/overhead, general operating, administrative, and all other expenses and costs necessary to perform the work set forth in the solicitation. No other amounts will be paid to the Contractor. If labor rates are requested, those amounts shall be fully-loaded rates; no overtime amounts will be paid.
- J) Unless indicated elsewhere in the IFB, sample amounts used for calculations on the Bid Form are typically estimates for evaluation purposes only. Unless stated otherwise in the IFB, the Department does not guarantee a minimum or maximum number of units or usage in the performance of the Contract.
- K) Failure to adhere to any of these instructions may result in the Bid being determined not reasonably susceptible of being selected for award.

**B-1 Bid Form**

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The Bid Form shall contain all price information in the format specified on these pages. Complete the Bid Form only as provided in the Bid Instructions. Do not amend, alter or leave blank any items on the Bid Form. If option years are included, Bidders must submit pricing for each option year. Failure to adhere to any of these instructions may result in the Bid being determined not reasonably susceptible of being selected for award.

See separate Excel Bid Form labeled xxxxx.xls Bid/Proposal Affidavit

See link at [http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentC-Bid\\_Proposal-Affidavit.pdf](http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentC-Bid_Proposal-Affidavit.pdf).

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**Attachment C. Bid/Proposal Affidavit**

See link at [http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentC-Bid\\_Proposal-Affidavit.pdf](http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentC-Bid_Proposal-Affidavit.pdf).

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**Attachment D. Minority Business Enterprise (MBE) Forms**

This solicitation does not include a Minority Business Enterprise (MBE) subcontractor participation goal.

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**Attachment E. Veteran-Owned Small Business Enterprise (VSBE) Forms**

This solicitation does not include a Veteran-Owned Small Business Enterprise goal.

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**Attachment F. Maryland Living Wage Affidavit of Agreement for Service Contracts**

See link at <http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/AttachmentF-LivingWageAffidavit.pdf> to complete the Affidavit.

- A. This contract is subject to the Living Wage requirements under Md. Code Ann., State Finance and Procurement Article, Title 18, and the regulations proposed by the Commissioner of Labor and Industry (Commissioner). The Living Wage generally applies to a Contractor or subcontractor who performs work on a State contract for services that is valued at \$100,000 or more. An employee is subject to the Living Wage if he/she is at least 18 years old or will turn 18 during the duration of the contract; works at least 13 consecutive weeks on the State Contract and spends at least one-half of the employee's time during any work week on the State Contract.
- B. The Living Wage Law does not apply to:
  - (1) A Contractor who:
    - (a) Has a State contract for services valued at less than \$100,000, or
    - (b) Employs 10 or fewer employees and has a State contract for services valued at less than \$500,000.
  - (2) A subcontractor who:
    - (a) Performs work on a State contract for services valued at less than \$100,000,
    - (b) Employs 10 or fewer employees and performs work on a State contract for services valued at less than \$500,000, or
    - (c) Performs work for a Contractor not covered by the Living Wage Law as defined in B(1)(b) above, or B (3) or C below.
  - (3) Service contracts for the following:
    - (a) Services with a Public Service Company;
    - (b) Services with a nonprofit organization;
    - (c) Services with an officer or other entity that is in the Executive Branch of the State government and is authorized by law to enter into a procurement ("Unit"); or
    - (d) Services between a Unit and a County or Baltimore City.
- C. If the Unit responsible for the State contract for services determines that application of the Living Wage would conflict with any applicable Federal program, the Living Wage does not apply to the contract or program.
- D. A Contractor must not split or subdivide a State contract for services, pay an employee through a third party, or treat an employee as an independent Contractor or assign work to employees to avoid the imposition of any of the requirements of Md. Code Ann., State Finance and Procurement Article, Title 18.
- E. Each Contractor/subcontractor, subject to the Living Wage Law, shall post in a prominent and easily accessible place at the work site(s) of covered employees a notice of the Living Wage Rates, employee rights under the law, and the name, address, and telephone number of the Commissioner.



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- F. The Commissioner shall adjust the wage rates by the annual average increase or decrease, if any, in the Consumer Price Index for all urban consumers for the Washington/Baltimore metropolitan area, or any successor index, for the previous calendar year, not later than 90 days after the start of each fiscal year. The Commissioner shall publish any adjustments to the wage rates on the Division of Labor and Industry's website. An employer subject to the Living Wage Law must comply with the rate requirements during the initial term of the contract and all subsequent renewal periods, including any increases in the wage rate, required by the Commissioner, automatically upon the effective date of the revised wage rate.
- G. A Contractor/subcontractor who reduces the wages paid to an employee based on the employer's share of the health insurance premium, as provided in Md. Code Ann., State Finance and Procurement Article, §18-103(c), shall not lower an employee's wage rate below the minimum wage as set in Md. Code Ann., Labor and Employment Article, §3-413. A Contractor/subcontractor who reduces the wages paid to an employee based on the employer's share of health insurance premium shall comply with any record reporting requirements established by the Commissioner.
- H. A Contractor/subcontractor may reduce the wage rates paid under Md. Code Ann., State Finance and Procurement Article, §18-103(a), by no more than 50 cents of the hourly cost of the employer's contribution to an employee's deferred compensation plan. A Contractor/subcontractor who reduces the wages paid to an employee based on the employer's contribution to an employee's deferred compensation plan shall not lower the employee's wage rate below the minimum wage as set in Md. Code Ann., Labor and Employment Article, §3-413.
- I. Under Md. Code Ann., State Finance and Procurement Article, Title 18, if the Commissioner determines that the Contractor/subcontractor violated a provision of this title or regulations of the Commissioner, the Contractor/subcontractor shall pay restitution to each affected employee, and the State may assess liquidated damages of \$20 per day for each employee paid less than the Living Wage.
- J. Information pertaining to reporting obligations may be found by going to the Division of Labor and Industry website <http://www.dllr.state.md.us/labor/prev/livingwage.shtml> and clicking on Living Wage for State Service Contracts.

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**Attachment G. Federal Funds Attachments**

This solicitation does not include a Federal Funds Attachment.

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**Attachment H. Conflict of Interest Affidavit and Disclosure**

See link at <https://procurement.maryland.gov/wp-content/uploads/sites/12/2018/05/AttachmentH-Conflict-of-InterestAffidavit.pdf>.

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**Attachment I. Non-Disclosure Agreement (Contractor)**

See link at <http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-I-Non-DisclosureAgreementContractor.pdf>.

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**Attachment J. HIPAA Business Associate Agreement**

See link at <http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-J-HIPAABusinessAssociateAgreement.pdf>.

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**Attachment K. Mercury Affidavit**

This solicitation does not include the procurement of products known to likely include mercury as a component.

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**Attachment L. Location of the Performance of Services Disclosure**

See link at <http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-L-PerformanceofServicesDisclosure.pdf>.

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**Attachment M. Contract**

Maryland Board of Physicians (MBP)

“Peer Review Services for the Maryland Board of Physicians”

**MDH/OPASS#20-18646**

THIS CONTRACT (the “Contract”) is made this \_\_\_\_ day of \_\_\_\_\_, 20\_\_ by and between \_\_\_\_\_ (the “Contractor”) [and Parental Guarantor, if applicable] and the STATE OF MARYLAND, acting through the MARYLAND Maryland Board of Physicians (“MBP” or the “Department”).

In consideration of the promises and the covenants herein contained, the adequacy and sufficiency of which are hereby acknowledged by the parties, the parties agree as follows:

**1. Definitions**

In this Contract, the following words have the meanings indicated:

- 1.1 “Bid” means the Contractor’s Bid dated \_\_\_\_\_ (Bid date).
- 1.2 “COMAR” means Code of Maryland Regulations.
- 1.3 “Contractor” means the entity first named above whose principal business address is (Contractor’s primary address) and whose principal office in Maryland is (Contractor’s local address), whose Federal Employer Identification Number or Social Security Number is (Contractor’s FEIN), and whose eMaryland Marketplace vendor ID number is (eMMA Number).
- 1.4 “IFB” means the Invitation for Bids for Peer Review Services for the Maryland Board of Physicians, Solicitation # <<solicitationNumber>>, and any amendments, addenda, and attachments thereto issued in writing by the State.
- 1.5 Minority Business Enterprise (MBE) – Any legal entity certified as defined at COMAR 21.01.02.01B (54) which is certified by the Maryland Department of Transportation under COMAR 21.11.03.
- 1.6 “State” means the State of Maryland.
- 1.7 “Veteran-owned Small Business Enterprise” (VSBE) means A business that is verified by the Center for Verification and Evaluation (CVE) of the United States Department of Veterans Affairs as a veteran-owned small business. See Code of Maryland Regulations (COMAR) 21.11.13.
- 1.8 Capitalized terms not defined herein shall be ascribed the meaning given to them in the IFB.

**2. Scope of Contract**

2.1 The Contractor shall perform in accordance with this Contract and Exhibits A-D, which are listed below and incorporated herein by reference. If there is any conflict between this Contract and the Exhibits, the terms of the Contract shall control. If there is any conflict among the Exhibits, the following order of precedence shall determine the prevailing provision:

Exhibit A – The IFB

Exhibit B – The Contract Affidavit, executed by the Contractor and dated (date of Attachment C)

Exhibit C – The Bid



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- 2.2 The Procurement Officer may, at any time, by written order, make unilateral changes in the work within the general scope of the Contract. No other order, statement, or conduct of the Procurement Officer or any other person shall be treated as a change or entitle the Contractor to an equitable adjustment under this section. Except as otherwise provided in this Contract, if any change under this section causes an increase or decrease in the Contractor's cost of, or the time required for, the performance of any part of the work, whether or not changed by the order, an equitable adjustment in the Contract price shall be made and the Contract modified in writing accordingly. The Contractor must assert in writing its right to an adjustment under this section within thirty (30) days of receipt of written change order and shall include a written statement setting forth the nature and cost of such claim. No claim by the Contractor shall be allowed if asserted after final payment under this Contract. Failure to agree to an adjustment under this section shall be a dispute under the Disputes clause. Nothing in this section shall excuse the Contractor from proceeding with the Contract as changed.
- 2.3 Without limiting the rights of the Procurement Officer under Section 2.2 above, the Contract may be modified by mutual agreement of the parties, provided: (a) the modification is made in writing; (b) all parties sign the modification; and (c) all approvals by the required agencies as described in COMAR Title 21, are obtained.

**3. Period of Performance**

- 3.1 The term of this Contract begins on the date the Contract is signed by the Department following any required prior approvals, including approval by the Board of Public Works, if such approval is required (the "Effective Date") and shall continue until \_\_\_\_\_ ("Initial Term").
- 3.2 In its sole discretion, the Department shall have the unilateral right to extend the Contract for <<enter the number of periods >>, successive <<enter the length of the period>> - <<select either year(s), month(s), or day(s)>> renewal options (each a "Renewal Term") at the prices established in the Contract. "Term" means the Initial Term and any Renewal Term(s).
- 3.3. The Contractor's performance under the Contract shall commence as of the date provided in a written NTP.
- 3.4 The Contractor's obligation to pay invoices to subcontractors providing products/services in connection with this Contract, as well as the audit; confidentiality; document retention; patents, copyrights & intellectual property; warranty; indemnification obligations; and limitations of liability under this Contract; and any other obligations specifically identified, shall survive expiration or termination of the Contract.

**4. Consideration and Payment**

- 4.1 In consideration of the satisfactory performance of the work set forth in this Contract, the Department shall pay the Contractor in accordance with the terms of this Contract and at the prices quoted in the Bid. Unless properly modified (see above Section 2), payment to the Contractor pursuant to this Contract, including the Initial Term and any Renewal Term, shall not exceed the Contracted amount.

The total payment under a fixed price Contract shall be the firm fixed price submitted by the Contractor in its Bid.

- 4.2 Unless a payment is unauthorized, deferred, delayed, or set-off under COMAR 21.02.07, payments to the Contractor pursuant to this Contract shall be made no later than 30 days after the Department's receipt of a proper invoice from the Contractor as required by IFB section 3.3.

The Contractor may be eligible to receive late payment interest at the rate of 9% per annum if:

- (1) The Contractor submits an invoice for the late payment interest within thirty days after the date of the State's payment of the amount on which the interest accrued; and

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- (2) A contract claim has not been filed under State Finance and Procurement Article, Title 15, Subtitle 2, Annotated Code of Maryland.

The State is not liable for interest:

- (1) Accruing more than one year after the 31st day after the agency receives the proper invoice; or
- (2) On any amount representing unpaid interest. Charges for late payment of invoices are authorized only as prescribed by Title 15, Subtitle 1, of the State Finance and Procurement Article, Annotated Code of Maryland, or by the Public Service Commission of Maryland with respect to regulated public utilities, as applicable.

Final payment under this Contract will not be made until after certification is received from the Comptroller of the State that all taxes have been paid.

Electronic funds transfer shall be used by the State to pay Contractor pursuant to this Contract and any other State payments due Contractor unless the State Comptroller's Office grants Contractor an exemption.

- 4.3 In addition to any other available remedies, if, in the opinion of the Procurement Officer, the Contractor fails to perform in a satisfactory and timely manner, the Procurement Officer may refuse or limit approval of any invoice for payment, and may cause payments to the Contractor to be reduced or withheld until such time as the Contractor meets performance standards as established by the Procurement Officer.
- 4.4 Payment of an invoice by the Department is not evidence that services were rendered as required under this Contract.

## **5. Rights to Records**

- 5.1 The Contractor agrees that all documents and materials including, but not limited to, software, reports, drawings, studies, specifications, estimates, tests, maps, photographs, designs, graphics, mechanical, artwork, computations, and data prepared by the Contractor for purposes of this Contract shall be the sole property of the State and shall be available to the State at any time. The State shall have the right to use the same without restriction and without compensation to the Contractor other than that specifically provided by this Contract.
- 5.2 The Contractor agrees that at all times during the term of this Contract and thereafter, works created as a Deliverable under this Contract (as defined in **Section 7.2**), and services performed under this Contract shall be "works made for hire" as that term is interpreted under U.S. copyright law. To the extent that any products created as a Deliverable under this Contract are not works made for hire for the State, the Contractor hereby relinquishes, transfers, and assigns to the State all of its rights, title, and interest (including all intellectual property rights) to all such products created under this Contract, and will cooperate reasonably with the State in effectuating and registering any necessary assignments.
- 5.3 The Contractor shall report to the Contract Monitor, promptly and in written detail, each notice or claim of copyright infringement received by the Contractor with respect to all data delivered under this Contract.
- 5.4 The Contractor shall not affix any restrictive markings upon any data, documentation, or other materials provided to the State hereunder and if such markings are affixed, the State shall have the right at any time to modify, remove, obliterate, or ignore such warnings.
- 5.5 Upon termination or expiration of the Contract, the Contractor, at its own expense, shall deliver any equipment, software or other property provided by the State to the place designated by the Procurement Officer.

**6. Exclusive Use**

- 6.1 The State shall have the exclusive right to use, duplicate, and disclose any data, information, documents, records, or results, in whole or in part, in any manner for any purpose whatsoever, that may be created or generated by the Contractor in connection with this Contract. If any material, including software, is capable of being copyrighted, the State shall be the copyright owner and Contractor may copyright material connected with this project only with the express written approval of the State.
- 6.2 Except as may otherwise be set forth in this Contract, Contractor shall not use, sell, sub-lease, assign, give, or otherwise transfer to any third party any other information or material provided to Contractor by the Department or developed by Contractor relating to the Contract, except as provided for in **Section 8. Confidential or Proprietary Information and Documentation.**

**7. Patents, Copyrights, and Intellectual Property**

- 7.1 All copyrights, patents, trademarks, trade secrets, and any other intellectual property rights existing prior to the Effective Date of this Contract shall belong to the party that owned such rights immediately prior to the Effective Date (“Pre-Existing Intellectual Property”). If any design, device, material, process, or other item provided by Contractor is covered by a patent or copyright or which is proprietary to or a trade secret of another, the Contractor shall obtain the necessary permission or license to permit the State to use such item or items pursuant to its rights granted under the Contract.
- 7.2 Except for (1) information created or otherwise owned by the Department or licensed by the Department from third parties, including all information provided by the Department to Contractor; (2) materials created by Contractor or its subcontractor(s) specifically for the State under the Contract (“Deliverables”), except for any Contractor Pre-Existing Intellectual Property included therein; and (3) the license rights granted to the State, all right, title, and interest in the intellectual property embodied in the solution, including the know-how and methods by which the solution is provided and the processes that make up the solution, will belong solely and exclusively to Contractor and its licensors, and the Department will have no rights to the same except as expressly granted in this Contract. Any SaaS Software developed by Contractor during the performance of the Contract will belong solely and exclusively to Contractor and its licensors. For all Software provided by the Contractor under the Contract, Contractor hereby grants to the State a nonexclusive, irrevocable, unlimited, perpetual, non-cancelable, and non-terminable right to use and make copies of the Software and any modifications to the Software. For all Contractor Pre-Existing Intellectual Property embedded in any Deliverables, Contractor grants to the State a license to use such Contractor Pre-Existing Intellectual Property in connection with its permitted use of such Deliverable. During the period between delivery of a Deliverable by Contractor and the date of payment therefor by the State in accordance with this Contract (including throughout the duration of any payment dispute discussions), subject to the terms and conditions contained herein, Contractor grants the State a royalty-free, non-exclusive, limited license to use such Deliverable and to use any Contractor Materials contained therein in accordance with this Contract.
- 7.3 Subject to the terms of **Section 10**, Contractor shall defend, indemnify and hold harmless the State and its agents and employees, from and against any and all claims, costs, losses, damages, liabilities, judgments and expenses (including without limitation reasonable attorneys’ fees) arising out of or in connection with any third party claim that the Contractor-provided products/services infringe, misappropriate or otherwise violate any third party intellectual property rights. Contractor shall not enter into any settlement involving third party claims that contains any admission of or stipulation to any guilt, fault, liability or wrongdoing by the State or that adversely affects the State’s rights or interests, without the State’s prior written consent.
- 7.4 Without limiting Contractor’s obligations under Section 5.3, if an infringement claim occurs, or if the State or the Contractor believes such a claim is likely to occur, Contractor (after consultation with the State and

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at no cost to the State): (a) shall procure for the State the right to continue using the allegedly infringing component or service in accordance with its rights under this Contract; or (b) replace or modify the allegedly infringing component or service so that it becomes non-infringing and remains compliant with all applicable specifications.

- 7.5 Except as otherwise provided herein, Contractor shall not acquire any right, title or interest (including any intellectual property rights subsisting therein) in or to any goods, Software, technical information, specifications, drawings, records, documentation, data or any other materials (including any derivative works thereof) provided by the State to the Contractor. Notwithstanding anything to the contrary herein, the State may, in its sole and absolute discretion, grant the Contractor a license to such materials, subject to the terms of a separate writing executed by the Contractor and an authorized representative of the State as well as all required State approvals.
- 7.6 Without limiting the generality of the foregoing, neither Contractor nor any of its subcontractors shall use any Software or technology in a manner that will cause any patents, copyrights or other intellectual property which are owned or controlled by the State or any of its affiliates (or for which the State or any of its subcontractors has received license rights) to become subject to any encumbrance or terms and conditions of any third party or open source license (including, without limitation, any open source license listed on <http://www.opensource.org/licenses/alphabetical>) (each an "Open Source License"). These restrictions, limitations, exclusions and conditions shall apply even if the State or any of its subcontractors becomes aware of or fails to act in a manner to address any violation or failure to comply therewith. No act by the State or any of its subcontractors that is undertaken under this Contract as to any Software or technology shall be construed as intending to cause any patents, copyrights or other intellectual property that are owned or controlled by the State (or for which the State has received license rights) to become subject to any encumbrance or terms and conditions of any open source license.
- 7.7 The Contractor shall report to the Department, promptly and in written detail, each notice or claim of copyright infringement received by the Contractor with respect to all Deliverables delivered under this Contract.
- 7.8 The Contractor shall not affix (or permit any third party to affix), without the Department's consent, any restrictive markings upon any Deliverables that are owned by the State, and if such markings are affixed, the Department shall have the right at any time to modify, remove, obliterate, or ignore such warnings.

**8. Confidential or Proprietary Information and Documentation**

- 8.1 Subject to the Maryland Public Information Act and any other applicable laws including, without limitation, HIPAA, the HI-TECH Act, and the Maryland Medical Records Act and regulations promulgated pursuant thereto, all confidential or proprietary information and documentation relating to either party (including without limitation, any information or data stored within the Contractor's computer systems or cloud infrastructure, if applicable) shall be held in confidence by the other party. Each party shall, however, be permitted to disclose, as provided by and consistent with applicable law, relevant confidential information to its officers, agents, and Contractor Personnel to the extent that such disclosure is necessary for the performance of their duties under this Contract. Each officer, agent, and Contractor Personnel to whom any of the State's confidential information is to be disclosed shall be advised by Contractor provided that each officer, agent, and Contractor Personnel to whom any of the State's confidential information is to be disclosed shall be advised by Contractor of the obligations hereunder, and bound by, confidentiality at least as restrictive as those of set forth in this Contract..
- 8.2 The provisions of this section shall not apply to information that: (a) is lawfully in the public domain; (b) has been independently developed by the other party without violation of this Contract; (c) was already rightfully in the possession of such party; (d) was supplied to such party by a third party lawfully in

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possession thereof and legally permitted to further disclose the information; or (e) which such party is required to disclose by law.

**9. Loss of Data**

- 9.1 In the event of loss of any State data or records where such loss is due to the act or omission of the Contractor or any of its subcontractors or agents, the Contractor shall be responsible for restoring or recreating, as applicable, such lost data in the manner and on the schedule set by the Contract Monitor. The Contractor shall ensure that all data is backed up and recoverable by the Contractor. At no time shall any Contractor actions (or any failures to act when Contractor has a duty to act) damage or create any vulnerabilities in data bases, systems, platforms, and applications with which the Contractor is working hereunder.
- 9.2 In accordance with prevailing federal or state law or regulations, the Contractor shall report the loss of non-public data as directed in **IFB Section 3.7**.
- 9.3 Protection of data and personal privacy (as further described and defined in IFB Section 3.8) shall be an integral part of the business activities of the Contractor to ensure there is no inappropriate or unauthorized use of State information at any time. To this end, the Contractor shall safeguard the confidentiality, integrity and availability of State information and comply with the conditions identified in **IFB Section 3.7**.

**10. Indemnification and Notification of Legal Requests**

- 10.1. At its sole cost and expense, Contractor shall (i) indemnify and hold the State, its employees and agents harmless from and against any and all claims, demands, actions, suits, damages, liabilities, losses, settlements, judgments, costs and expenses (including but not limited to attorneys' fees and costs), whether or not involving a third party claim, which arise out of or relate to the Contractor's, or any of its subcontractors', performance of this Contract and (ii) cooperate, assist, and consult with the State in the defense or investigation of any such claim, demand, action or suit. Contractor shall not enter into any settlement involving third party claims that contains any admission of or stipulation to any guilt, fault, liability or wrongdoing by the State or that adversely affects the State's rights or interests, without the State's prior written consent.
- 10.2. The State has no obligation: (i) to provide legal counsel or defense to the Contractor or its subcontractors in the event that a suit, claim or action of any character is brought against the Contractor or its subcontractors as a result of or relating to the Contractor's obligations or performance under this Contract, or (ii) to pay any judgment or settlement of any such suit, claim or action. Notwithstanding the foregoing, the Contractor shall promptly notify the Procurement Officer of any such claims, demands, actions, or suits.
- 10.3. Notification of Legal Requests. In the event the Contractor receives a subpoena or other validly issued administrative or judicial process, or any discovery request in connection with any litigation, requesting State Pre-Existing Intellectual Property, of other information considered to be the property of the State, including but not limited to State data stored with or otherwise accessible by the Contractor, the Contractor shall not respond to such subpoena, process or other legal request without first notifying the State, unless prohibited by law from providing such notice. The Contractor shall promptly notify the State of such receipt providing the State with a reasonable opportunity to intervene in the proceeding before the time that Contractor is required to comply with such subpoena, other process or discovery request. .

**11. Non-Hiring of Employees**

No official or employee of the State, as defined under Md. Code Ann., General Provisions Article, § 5-101, whose duties as such official or employee include matters relating to or affecting the subject matter of this Contract, shall, during the pendency and term of this Contract and while serving as an official or employee of the State, become or be an employee of the Contractor or any entity that is a subcontractor on this Contract.

**12. Disputes**

This Contract shall be subject to the provisions of Md. Code Ann., State Finance and Procurement Article, Title 15, Subtitle 2, and COMAR 21.10 (Administrative and Civil Remedies). Pending resolution of a claim, the Contractor shall proceed diligently with the performance of the Contract in accordance with the Procurement Officer's decision. Unless a lesser period is provided by applicable statute, regulation, or the Contract, the Contractor must file a written notice of claim with the Procurement Officer within thirty (30) days after the basis for the claim is known or should have been known, whichever is earlier. Contemporaneously with or within thirty (30) days of the filing of a notice of claim, but no later than the date of final payment under the Contract, the Contractor must submit to the Procurement Officer its written claim containing the information specified in COMAR 21.10.04.02.

**13. Maryland Law Prevails**

- 13.1 This Contract shall be construed, interpreted, and enforced according to the laws of the State of Maryland.
- 13.2 The Maryland Uniform Computer Information Transactions Act (Commercial Law Article, Title 22 of the Annotated Code of Maryland) does not apply to this Contract or any purchase order, task order, or Notice to Proceed issued thereunder, or any software, or any software license acquired hereunder.
- 13.3 Any and all references to the Maryland Code, annotated and contained in this Contract shall be construed to refer to such Code sections as are from time to time amended.

**14. Nondiscrimination in Employment**

The Contractor agrees: (a) not to discriminate in any manner against an employee or applicant for employment because of race, color, religion, creed, age, sex, sexual orientation, gender identification, marital status, national origin, ancestry, genetic information, or any otherwise unlawful use of characteristics, or disability of a qualified individual with a disability unrelated in nature and extent so as to reasonably preclude the performance of the employment, or the individual's refusal to submit to a genetic test or make available the results of a genetic test; (b) to include a provision similar to that contained in subsection (a), above, in any underlying subcontract except a subcontract for standard commercial supplies or raw materials; and (c) to post and to cause subcontractors to post in conspicuous places available to employees and applicants for employment, notices setting forth the substance of this clause.

**15. Contingent Fee Prohibition**

The Contractor warrants that it has not employed or retained any person, partnership, corporation, or other entity, other than a bona fide employee or agent working for the Contractor to solicit or secure the Contract, and that the Contractor has not paid or agreed to pay any person, partnership, corporation, or other entity, other than a bona fide employee or agent, any fee or any other consideration contingent on the making of this Contract.

**16. Non-Availability of Funding**

If the General Assembly fails to appropriate funds or if funds are not otherwise made available for continued performance for any fiscal period of this Contract succeeding the first fiscal period, this Contract shall be canceled automatically as of the beginning of the fiscal year for which funds were not appropriated or otherwise made available; provided, however, that this will not affect either the State's or the Contractor's rights under any termination clause in this Contract. The effect of termination of the Contract hereunder will be to discharge both the Contractor and the State from future performance of the Contract, but not from their rights and obligations existing at the time of termination. The Contractor shall be reimbursed for the reasonable value of any nonrecurring costs incurred but not amortized in the price of the Contract. The State shall notify the Contractor as soon as it has knowledge that funds may not be available for the continuation of this Contract for each succeeding fiscal period beyond the first.

**17. Termination for Default**

If the Contractor fails to fulfill its obligations under this Contract properly and on time, or otherwise violates any provision of the Contract, the State may terminate the Contract by written notice to the Contractor. The notice shall specify the acts or omissions relied upon as cause for termination. All finished or unfinished work provided by the Contractor shall, at the State's option, become the State's property. The State shall pay the Contractor fair and equitable compensation for satisfactory performance prior to receipt of notice of termination, less the amount of damages caused by the Contractor's breach. If the damages are more than the compensation payable to the Contractor, the Contractor will remain liable after termination and the State can affirmatively collect damages. Termination hereunder, including the termination of the rights and obligations of the parties, shall be governed by the provisions of COMAR 21.07.01.11B.

**18. Termination for Convenience**

The performance of work under this Contract may be terminated by the State in accordance with this clause in whole, or from time to time in part, whenever the State shall determine that such termination is in the best interest of the State. The State will pay all reasonable costs associated with this Contract that the Contractor has incurred up to the date of termination, and all reasonable costs associated with termination of the Contract. However, the Contractor shall not be reimbursed for any anticipatory profits that have not been earned up to the date of termination. Termination hereunder, including the determination of the rights and obligations of the parties, shall be governed by the provisions of COMAR 21.07.01.12A (2).

**19. Delays and Extensions of Time**

- 19.1 The Contractor agrees to prosecute the work continuously and diligently and no charges or claims for damages shall be made by it for any delays or hindrances from any cause whatsoever during the progress of any portion of the work specified in this Contract.
- 19.2 Time extensions will be granted only for excusable delays that arise from unforeseeable causes beyond the control and without the fault or negligence of the Contractor, including but not restricted to, acts of God, acts of the public enemy, acts of the State in either its sovereign or contractual capacity, acts of another Contractor in the performance of a contract with the State, fires, floods, epidemics, quarantine restrictions, strikes, freight embargoes, or delays of subcontractors or suppliers arising from unforeseeable causes beyond the control and without the fault or negligence of either the Contractor or the subcontractors or suppliers.

**20. Suspension of Work**

The State unilaterally may order the Contractor in writing to suspend, delay, or interrupt all or any part of its performance for such period of time as the Procurement Officer may determine to be appropriate for the convenience of the State.

**21. Pre-Existing Regulations**

In accordance with the provisions of Section 11-206 of the State Finance and Procurement Article, Annotated Code of Maryland, the regulations set forth in Title 21 of the Code of Maryland Regulations (COMAR 21) in effect on the date of execution of this Contract are applicable to this Contract.

**22. Financial Disclosure**

The Contractor shall comply with the provisions of Section 13-221 of the State Finance and Procurement Article of the Annotated Code of Maryland, which requires that every business that enters into contracts, leases, or other agreements with the State or its agencies during a calendar year under which the business is to receive in the aggregate, \$100,000 or more, shall within 30 days of the time when the aggregate value of

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these contracts, leases or other agreements reaches \$100,000, file with the Secretary of State of Maryland certain specified information to include disclosure of beneficial ownership of the business.

**23. Political Contribution Disclosure**

The Contractor shall comply with Election Law Article, Title 14, Annotated Code of Maryland, which requires that every person that enters into a procurement contract with the State, a county, or a municipal corporation, or other political subdivision of the State, during a calendar year in which the person receives a contract with a governmental entity in the amount of \$200,000 or more, shall file with the State Board of Elections statements disclosing: (a) any contributions made during the reporting period to a candidate for elective office in any primary or general election; and (b) the name of each candidate to whom one or more contributions in a cumulative amount of \$500 or more were made during the reporting period. The statement shall be filed with the State Board of Elections: (a) before execution of a contract by the State, a county, a municipal corporation, or other political subdivision of the State, and shall cover the 24 months prior to when a contract was awarded; and (b) if the contribution is made after the execution of a contract, then twice a year, throughout the contract term, on or before: (i) May 31, to cover the six (6) month period ending April 30; and (ii) November 30, to cover the six (6) month period ending October 31. Additional information is available on the State Board of Elections website:

[http://www.elections.state.md.us/campaign\\_finance/index.html](http://www.elections.state.md.us/campaign_finance/index.html).

**24. Retention of Records**

The Contractor and subcontractors shall retain and maintain all records and documents in any way relating to this Contract for (i) three (3) years after final payment by the State hereunder, or (ii) any applicable federal or State retention requirements (such as HIPAA) or condition of award, , whichever is longer, and shall make them available for inspection and audit by authorized representatives of the State, as designated by the Procurement Officer, at all reasonable times. The Contractor shall provide copies of all documents requested by the State, including, but not limited to itemized billing documentation containing the dates, hours spent and work performed by the Contractor and its subcontractors under the Contract. All records related in any way to the Contract are to be retained for the entire time provided under this section.

**25. Right to Audit**

- 25.1 The State reserves the right, at its sole discretion and at any time, to perform an audit of the Contractor's performance under this Contract. An audit is defined as a planned and documented independent activity performed by qualified personnel, including but not limited to State and federal auditors, to determine by investigation, examination, or evaluation of objective evidence from data, statements, records, operations and performance practices (financial or otherwise) the Contractor's compliance with the Contract, including but not limited to adequacy and compliance with established procedures and internal controls over the services performed pursuant to the Contract.
- 25.2 Upon three (3) Business Days' notice, the State shall be provided reasonable access to Contractor's records to perform any such audits. The Department may conduct these audits with any or all of its own internal resources or by securing the services of a third party accounting or audit firm, solely at the Department's election. The Department may copy any record related to the services performed pursuant to the Contract. The Contractor agrees to fully cooperate and assist in any audit conducted by or on behalf of the State, including, by way of example only, making records and employees available as, where, and to the extent requested by the State and by assisting the auditors in reconciling any audit variances. Contractor shall not be compensated for providing any such cooperation and assistance.
- 25.3 The right to audit shall include any of the Contractor's subcontractors including but not limited to any lower tier subcontractor(s). The Contractor shall ensure the Department has the right to audit such subcontractor(s).



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**26. Compliance with Laws**

The Contractor hereby represents and warrants that:

- a. It is qualified to do business in the State and that it will take such action as, from time to time hereafter, may be necessary to remain so qualified;
- b. It is not in arrears with respect to the payment of any monies due and owing the State, or any department or unit thereof, including but not limited to the payment of taxes and employee benefits, and that it shall not become so in arrears during the Term;
- c. It shall comply with all federal, State and local laws, regulations, and ordinances applicable to its activities and obligations under this Contract; and
- d. It shall obtain, at its expense, all licenses, permits, insurance, and governmental approvals, if any, necessary to the performance of its obligations under this Contract.

**27. Cost and Price Certification**

- 27.1 The Contractor, by submitting cost or price information certifies that, to the best of its knowledge, the information submitted is accurate, complete, and current as of the date of its Bid.
- 27.2 The price under this Contract and any change order or modification hereunder, including profit or fee, shall be adjusted to exclude any significant price increases occurring because the Contractor furnished cost or price information which, as of the date of its Bid, was inaccurate, incomplete, or not current.

**28. Subcontracting; Assignment**

The Contractor may not subcontract any of its obligations under this Contract without obtaining the prior written approval of the Procurement Officer, nor may the Contractor assign this Contract or any of its rights or obligations hereunder, without the prior written approval of the Procurement Officer, each at the State’s sole and absolute discretion; provided, however, that a Contractor may assign monies receivable under a contract after written notice to the State. Any subcontracts shall include such language as may be required in various clauses contained within this Contract, exhibits, and attachments. The Contract shall not be assigned until all approvals, documents, and affidavits are completed and properly registered. The State shall not be responsible for fulfillment of the Contractor’s obligations to its subcontractors.

**29. Limitations of Liability**

- 29.1 Contractor shall be liable for any loss or damage to the State occasioned by the acts or omissions of Contractor, its subcontractors, agents or employees as follows:
  - (a) For infringement of patents, trademarks, trade secrets and copyrights as provided in **Section 7 “Patents, Copyrights, Intellectual Property”** of this Contract;
  - (b) Without limitation for damages for bodily injury (including death) and damage to real property and tangible personal property; and
  - (c) For all other claims, damages, loss, costs, expenses, suits or actions in any way related to this Contract and regardless of the basis on which the claim is made, Contractor’s liability shall be unlimited.
- 29.2 Contractor’s indemnification obligations for Third party claims arising under Section 6 (“Indemnification”) of this Contract are included in this limitation of liability only if the State is immune from liability.

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Contractor's indemnification liability for third party claims arising under Section 6 of this Contract shall be unlimited if the State is not immune from liability for claims arising under Section 6.

- 29.3. In no event shall the existence of a subcontract operate to release or reduce the liability of Contractor hereunder. For purposes of this Contract, Contractor agrees that all subcontractors are agents of Contractor and Contractor is responsible for performance of the services and compliance with the relevant obligations hereunder by its subcontractors.

**30. Commercial Nondiscrimination**

- 30.1 As a condition of entering into this Contract, Contractor represents and warrants that it will comply with the State's Commercial Nondiscrimination Policy, as described under Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland. As part of such compliance, Contractor may not discriminate on the basis of race, color, religion, ancestry, national origin, sex, age, marital status, sexual orientation, sexual identity, genetic information or an individual's refusal to submit to a genetic test or make available the results of a genetic test or on the basis of disability, or otherwise unlawful forms of discrimination in the solicitation, selection, hiring, or commercial treatment of subcontractors, vendors, suppliers, or commercial customers, nor shall Contractor retaliate against any person for reporting instances of such discrimination. Contractor shall provide equal opportunity for subcontractors, vendors, and suppliers to participate in all of its public sector and private sector subcontracting and supply opportunities, provided that this clause does not prohibit or limit lawful efforts to remedy the effects of marketplace discrimination that have occurred or are occurring in the marketplace. Contractor understands that a material violation of this clause shall be considered a material breach of this Contract and may result in termination of this Contract, disqualification of Contractor from participating in State contracts, or other sanctions. This clause is not enforceable by or for the benefit of, and creates no obligation to, any third party.
- 30.2 As a condition of entering into this Contract, upon the request of the Commission on Civil Rights, and only after the filing of a complaint against Contractor under Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland, as amended from time to time, Contractor agrees to provide within 60 days after the request a complete list of the names of all subcontractors, vendors, and suppliers that Contractor has used in the past four (4) years on any of its contracts that were undertaken within the State of Maryland, including the total dollar amount paid by Contractor on each subcontract or supply contract. Contractor further agrees to cooperate in any investigation conducted by the State pursuant to the State Commercial Nondiscrimination Policy as set forth under Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland, and to provide any documents relevant to any investigation that are requested by the State. Contractor understands that violation of this clause is a material breach of this Contract and may result in Contract termination, disqualification by the State from participating in State contracts, and other sanctions.
- 30.3 The Contractor shall include the language from 30.1, or similar clause approved in writing by the Department, in all subcontracts.

**31. Prompt Pay Requirements**

- 31.1 If the Contractor withholds payment of an undisputed amount to its subcontractor, the Department, at its option and in its sole discretion, may take one or more of the following actions:
- (a) Not process further payments to the Contractor until payment to the subcontractor is verified;
  - (b) Suspend all or some of the Contract work without affecting the completion date(s) for the Contract work;

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- (c) Pay or cause payment of the undisputed amount to the subcontractor from monies otherwise due or that may become due to the Contractor;
  - (d) Place a payment for an undisputed amount in an interest-bearing escrow account; or
  - (e) Take other or further actions as appropriate to resolve the withheld payment.
- 31.2 An “undisputed amount” means an amount owed by the Contractor to a subcontractor for which there is no good faith dispute. Such “undisputed amounts” include, without limitation: (a) retainage which had been withheld and is, by the terms of the agreement between the Contractor and subcontractor, due to be distributed to the subcontractor; and (b) an amount withheld because of issues arising out of an agreement or occurrence unrelated to the agreement under which the amount is withheld.
- 31.3 An act, failure to act, or decision of a Procurement Officer or a representative of the Department concerning a withheld payment between the Contractor and a subcontractor under this **section 31**, may not:
  - (a) Affect the rights of the contracting parties under any other provision of law;
  - (b) Be used as evidence on the merits of a dispute between the Department and the Contractor in any other proceeding; or
  - (c) Result in liability against or prejudice the rights of the Department.
- 31.4 The remedies enumerated above are in addition to those provided under COMAR 21.11.03.13 with respect to subcontractors that have contracted pursuant to the MBE program.
- 31.5 To ensure compliance with certified MBE subcontract participation goals, the Department may, consistent with COMAR 21.11.03.13, take the following measures:
  - (a) Verify that the certified MBEs listed in the MBE participation schedule actually are performing work and receiving compensation as set forth in the MBE participation schedule. This verification may include, as appropriate:
    - i. Inspecting any relevant records of the Contractor;
    - ii. Inspecting the jobsite; and
    - iii. Interviewing subcontractors and workers.Verification shall include a review of:
    - i. The Contractor’s monthly report listing unpaid invoices over thirty (30) days old from certified MBE subcontractors and the reason for nonpayment; and
    - ii. The monthly report of each certified MBE subcontractor, which lists payments received from the Contractor in the preceding thirty (30) days and invoices for which the subcontractor has not been paid.
  - (b) If the Department determines that the Contractor is not in compliance with certified MBE participation goals, then the Department will notify the Contractor in writing of its findings, and will require the Contractor to take appropriate corrective action. Corrective action may include, but is not limited to, requiring the Contractor to compensate the MBE for work performed as set forth in the MBE participation schedule.
  - (c) If the Department determines that the Contractor is in material noncompliance with MBE Contract provisions and refuses or fails to take the corrective action that the Department requires, then the Department may:
    - i. Terminate the Contract;

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- ii. Refer the matter to the Office of the Attorney General for appropriate action; or
  - iii. Initiate any other specific remedy identified by the Contract, including the contractual remedies required by any applicable laws, regulations, and directives regarding the payment of undisputed amounts.
- (d) Upon completion of the Contract, but before final payment or release of retainage or both, the Contractor shall submit a final report, in affidavit form under the penalty of perjury, of all payments made to, or withheld from, MBE subcontractors.

**32. Living Wage**

If a Contractor subject to the Living Wage law fails to submit all records required under COMAR 21.11.10.05 to the Commissioner of Labor and Industry at the Department of Labor, Licensing and Regulation, the Department may withhold payment of any invoice or retainage. The Department may require certification from the Commissioner on a quarterly basis that such records were properly submitted.

**33. Use of Estimated Quantities**

Unless specifically indicated otherwise in the State's solicitation or other controlling documents related to the Scope of Work, any sample amounts provided are estimates only and the Department does not guarantee a minimum or maximum number of units or usage in the performance of this Contract.

**34. Risk of Loss; Transfer of Title**

Risk of loss for conforming supplies, equipment, materials and Deliverables furnished to the State hereunder shall remain with the Contractor until such supplies, equipment, materials and Deliverables are received and accepted by the State, following which, title shall pass to the State.

**35. Effect of Contractor Bankruptcy**

All rights and licenses granted by the Contractor under this Contract are and shall be deemed to be rights and licenses to "intellectual property," and the subject matter of this Contract, including services, is and shall be deemed to be "embodiments of intellectual property" for purposes of and as such terms are used and interpreted under § 365(n) of the United States Bankruptcy Code ("Code") (11 U.S.C. § 365(n) (2010)). The State has the right to exercise all rights and elections under the Code and all other applicable bankruptcy, insolvency and similar laws with respect to this Contract (including all executory statement of works). Without limiting the generality of the foregoing, if the Contractor or its estate becomes subject to any bankruptcy or similar proceeding: (a) subject to the State's rights of election, all rights and licenses granted to the State under this Contract shall continue subject to the respective terms and conditions of this Contract; and (b) the State shall be entitled to a complete duplicate of (or complete access to, as appropriate) all such intellectual property and embodiments of intellectual property, and the same, if not already in the State's possession, shall be promptly delivered to the State, unless the Contractor elects to and does in fact continue to perform all of its obligations under this Contract.

**36. Miscellaneous**

- 36.1 Any provision of this Contract which contemplates performance or observance subsequent to any termination or expiration of this Contract shall survive termination or expiration of this Contract and continue in full force and effect.
- 36.2 If any term contained in this Contract is held or finally determined to be invalid, illegal, or unenforceable in any respect, in whole or in part, such term shall be severed from this Contract, and the remaining terms contained herein shall continue in full force and effect, and shall in no way be affected, prejudiced, or disturbed thereby.

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- 36.3 The headings of the sections contained in this Contract are for convenience only and shall not be deemed to control or affect the meaning or construction of any provision of this Contract.
- 36.4 This Contract may be executed in any number of counterparts, each of which shall be deemed an original, and all of which together shall constitute one and the same instrument. Signatures provided by facsimile or other electronic means, e.g, and not by way of limitation, in Adobe .PDF sent by electronic mail, shall be deemed to be original signatures.

**37. Contract Monitor and Procurement Officer**

- 37.1 The State representative for this Contract who is primarily responsible for Contract administration functions, including issuing written direction, invoice approval, monitoring this Contract to ensure compliance with the terms and conditions of the Contract, monitoring MBE and VSBE compliance, and achieving completion of the Contract on budget, on time, and within scope. The Contract Monitor may authorize in writing one or more State representatives to act on behalf of the Contract Monitor in the performance of the Contract Monitor's responsibilities. The Department may change the Contract Monitor at any time by written notice to the Contractor.
- 37.2 The Procurement Officer has responsibilities as detailed in the Contract and is the only State representative who can authorize changes to the Contract. The Department may change the Procurement Officer at any time by written notice to the Contractor.

**38. Notices**

All notices hereunder shall be in writing and either delivered personally or sent by certified or registered mail, postage prepaid, as follows:

If to the State:

Brooks Whigham  
4201 Patterson Ave., 4<sup>th</sup> Floor  
Baltimore, Maryland 21215  
(410 764-4796  
brooks.whigham@maryland.gov

With a copy to:

Leslie Jae Taylor  
Fiscal Director  
Maryland State Board of Physicians  
4201 Patterson Avenue  
Baltimore, MD 21215  
Phone: 410-764-4707  
Fax Number: (410) 358-2252  
E-mail: leslie.taylor@maryland.gov

If to the Contractor:

(Contractor's Name)  
(Contractor's primary address)  
Attn: \_\_\_\_\_

Parent Company Guarantor

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Contact: \_\_\_\_\_

Attn: \_\_\_\_\_

(Corporate name of Contractor's Parent Company) hereby guarantees absolutely the full, prompt, and complete performance by (Contractor) of all the terms, conditions and obligations contained in this Contract, as it may be amended from time to time, including any and all exhibits that are now or may become incorporated hereunto, and other obligations of every nature and kind that now or may in the future arise out of or in connection with this Contract, including any and all financial commitments, obligations, and liabilities. (Corporate name of Contractor's Parent Company) may not transfer this absolute guaranty to any other person or entity without the prior express written approval of the State, which approval the State may grant, withhold, or qualify in its sole and absolute subjective discretion. (Corporate name of Contractor's Parent Company) further agrees that if the State brings any claim, action, lawsuit or proceeding against (Contractor), (Corporate name of Contractor's Parent Company) may be named as a party, in its capacity as Absolute Guarantor.

**39. Federal Department of Health and Human Services (DHHS) Exclusion Requirements**

The Contractor agrees that it will comply with federal provisions (pursuant to §§ 1128 and 1156 of the Social Security Act and 42 C.F.R. 1001) that prohibit payments under certain federal health care programs to any individual or entity that is on the List of Excluded Individuals/Entities maintained by DHHS. By executing this Contract, the Contractor affirmatively declares that neither it nor any employee is, to the best of its knowledge, subject to exclusion. The Contractor agrees, further, during the term of this Contract, to check the List of Excluded Individuals/Entities prior to hiring or assigning individuals to work on this Contract, and to notify the Department immediately of any identification of the Contractor or an individual employee as excluded, and of any DHHS action or proposed action to exclude the Contractor or any Contractor employee.

**40. Compliance with federal Health Insurance Portability and Accountability Act (HIPAA) and State Confidentiality Law**

40.1 The Contractor acknowledges its duty to become familiar with and comply, to the extent applicable, with all requirements of the federal Health Insurance Portability and Accountability Act (HIPAA), 42 U.S.C. § 1320d et seq., and implementing regulations including 45 C.F.R. Parts 160 and 164. The Contractor also agrees to comply with the Maryland Confidentiality of Medical Records Act (MCMRA), Md. Code Ann. Health-General §§ 4-301 et seq. This obligation includes:

- (a) As necessary, adhering to the privacy and security requirements for protected health information and medical records under HIPAA and MCMRA and making the transmission of all electronic information compatible with the HIPAA requirements;
- (b) Providing training and information to employees regarding confidentiality obligations as to health and financial information and securing acknowledgement of these obligations from employees to be involved in the Contract; and
- (c) Otherwise providing good information management practices regarding all health information and medical records.

40.2 Based on the determination by the Department that the functions to be performed in accordance with the scope of work set forth in the solicitation constitute business associate functions as defined in HIPAA, the selected Bidder shall execute a business associate agreement as required by HIPAA regulations at 45 C.F.R. 164.504 and in the form as required by the Department.

40.3 "Protected Health Information" as defined in the HIPAA regulations at 45 C.F.R. 160.103 and 164.501, means information transmitted as defined in the regulations, that is individually identifiable; that is created

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or received by a healthcare provider, health plan, public health authority, employer, life insurer, school or university, or healthcare clearinghouse; and that is related to the past, present, or future physical or mental health or condition of an individual, to the provision of healthcare to an individual, or to the past, present, or future payment for the provision of healthcare to an individual. The definition excludes certain education records as well as employment records held by a covered entity in its role as employer.

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**Attachment N. Contract Affidavit**

See link at <http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-N-ContractAffidavit.pdf>.



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**Attachment O. DHS Hiring Agreement**

See link at <http://procurement.maryland.gov/wp-content/uploads/sites/12/2018/04/Attachment-O-DHSHiringAgreement.pdf>.

Appendix 1. Abbreviations and Definitions

For purposes of this IFB, the following abbreviations or terms have the meanings indicated below:

1. Administrative Proceeding - is a non-judicial determination of fault or wrongdoing and may include, in some cases, penalties of various forms. They are typically conducted by government or military institutions.
2. Bid – The Bidder’s Bid.
3. Bid Price Form or Bid Form - The **Attachment B** Bid Form.
4. Bidder – An entity that submits a Bid in response to this IFB.
5. Business Day(s) – The official working days of the week to include Monday through Friday. Official working days excluding State Holidays (see definition of “Normal State Business Hours” below).
6. Board- Maryland Board of Physicians
7. Case – An instance in which the Board refers to the Contractor the responsibility to evaluate the care provided by a Physician, Physician Assistant or allied health provider and to evaluate any potential violations of the Maryland Medical Practice Act.
8. COMAR – Code of Maryland Regulations available on-line at <http://www.dsd.state.md.us/COMAR/ComarHome.html>.
9. Consultation - Conference or a series of conferences at which a Reviewer gives professional opinions to the attorney assigned by the Board or the Reviewer prepares for testimony with the attorney (administrative prosecutor from the Office of the Attorney General) assigned by the Board. The total of all such conferences attended by one Reviewer in one case is a single instance of consultation. Consultation also includes the preparation of any necessary addendum report.
10. Contract – The Contract awarded to the successful Bidder pursuant to this IFB. The Contract will be in the form of **Attachment M**.
11. Contract Monitor – The State representative for this Contract who is primarily responsible for Contract administration functions, including issuing written direction, invoice approval, monitoring this Contract to ensure compliance with the terms and conditions of the Contract, monitoring MBE and VSBE compliance, and achieving completion of the Contract on budget, on time, and within scope. The Contract Monitor may authorize in writing one or more State representatives to act on behalf of the Contract Monitor in the performance of the Contract Monitor’s responsibilities. The Department may change the Contract Monitor at any time by written notice to the Contractor.
12. Contractor – The selected Bidder that is awarded a Contract by the State.
13. Contractor Personnel – Employees and agents and subcontractor employees and agents performing work at the direction of the Contractor under the terms of the Contract awarded from this IFB.
14. Date of Referral – Date of receipt of the Expert/Peer Review materials by the Contractor.
15. Data Breach – The unauthorized acquisition, use, modification or disclosure of State data, or other Sensitive Data.
16. Department or MDH - Maryland Board of Physicians or (MBP or the “Department”).
17. eMMA – eMaryland Marketplace Advantage (see IFB **Section 4.2**).

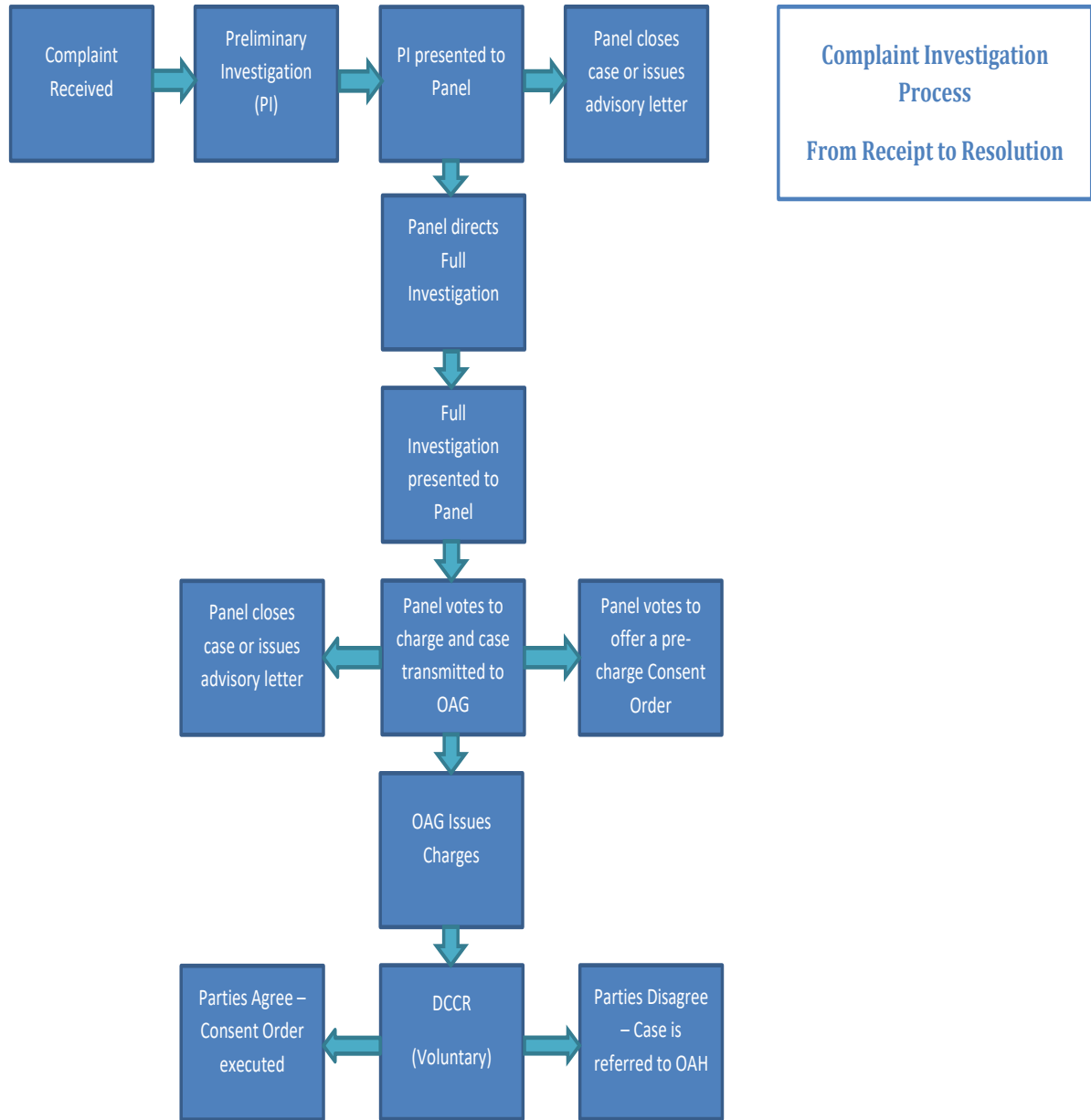
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18. Expert Review - A single report, deemed acceptable to the Board, which includes all the elements required by the Contract and by the Board's focus of review, conducted by a qualified, licensed Physician, Physician Assistant or other allied health provider with specific experience, to provide expert opinion on allegations for grounds other than standard of care or adequacy of medical records of the Maryland Medical Practice Act.
19. Expedited Review - A peer or expert review required within 30 days based on the nature of the allegations.
20. Expert Witness - A witness qualified as an expert by knowledge, skill, experience, and training may testify thereto in the form of an opinion or otherwise.
21. Invitation for Bids (IFB) – This Invitation for Bids issued by the Maryland Board of Physicians (Department), with the Solicitation Number and date of issuance indicated in the Key Information Summary Sheet, including any amendments thereto.
22. Key Personnel – All Contractor Personnel identified in the solicitation as such that are essential to the work being performed under the Contract.
23. Local Time – Time in the Eastern Time Zone as observed by the State of Maryland. Unless otherwise specified, all stated times shall be Local Time, even if not expressly designated as such.
24. Maryland Medical Practice Act - Title 14, including subtitles 14-5A through 14-5F, and Title 15 of the Maryland Health Occupations Article.
25. Minority Business Enterprise (MBE) – Any legal entity certified as defined at COMAR.01.02.01B (54) which is certified by the Maryland Department of Transportation under COMAR 21.11.0Normal State Business Hours - Normal State business hours are 8:00 a.m. – 5:00 p.m. Monday through Friday except State Holidays, which can be found at: [www.dbm.maryland.gov](http://www.dbm.maryland.gov) – keyword: State Holidays
26. Notice to Proceed (NTP) – A written notice from the Procurement Officer that work under the Contract, project, Task Order or Work Order (as applicable) is to begin as of a specified date. The NTP Date is the start date of work under the Contract, project, Task Order or Work Order. Additional NTPs may be issued by either the Procurement Officer or the Contract Monitor regarding the start date for any service included within this solicitation with a delayed or non-specified implementation dateX. NTP Date – The date specified in a NTP for work on Contract, project, Task Order or Work Order to begin.
28. Peer Review Allied Health – One report, deemed acceptable by the Board, which include(s) all the elements required by the Contract and by the Board's focus of review, conducted by a qualified, licensed Physician Assistant or other allied health provider with specific experience, to provide expert opinion as to whether the care rendered by a medical practitioner under review met the standards of quality care and/or violated any other provisions of the Maryland Medical Practice Act.
29. Peer Review Physician - One report, deemed acceptable by the Board, which include(s) all the elements required by the Contract and by the Board's focus of review, conducted by a qualified, licensed Physician with specific experience. To provide expert opinion as to whether the care rendered by a medical practitioner under review met the standards of quality care and/or violated any other provisions of the Maryland Medical Practice Act.
30. Personally Identifiable Information (PII) – Any information about an individual maintained by the State, including (1) any information that can be used to distinguish or trace an individual identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records; and (2) any

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- other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.
31. Physician – An authorized practitioner of medicine, one who has graduated from a college of medicine or osteopathy and licensed by the appropriate board.
  32. Procurement Officer – Prior to the award of any Contract, the sole point of contact in the State for purposes of this solicitation. After Contract award, the Procurement Officer has responsibilities as detailed in the Contract (**Attachment M**), and is the only State representative who can authorize changes to the Contract. The Department may change the Procurement Officer at any time by written notice to the Contractor.
  33. Protected Health Information (PHI) – Information that relates to the past, present, or future physical or mental health or condition of an individual; the provision of health care to an individual; or the past, present, or future payment for the provision of health care to an individual; and (i) that identifies the individual; or (ii) with respect to which there is a reasonable basis to believe the information can be used to identify the individual.<sup>27</sup> bb. Security Incident – A violation or imminent threat of violation of computer security policies, Security Measures, acceptable use policies, or standard security practices. “Imminent threat of violation” is a situation in which the organization has a factual basis for believing that a specific incident is about to occur.cc. Security or Security Measures – The technology, policy and procedures that a) protects and b) controls access to networks, systems, and data.
  27. Referral - Board’s formal assignment of a case to the Contractor for Expert/Peer Review services. Referral begins on the date the Contractor receives the case from the Board. A Physician referral for standard of care and adequate medical records requires two Peer Review Reports and a Physician Assistant or other health occupational professional review requires one Peer Review Report.
  34. Reviewer (s) – A qualified, licensed Physician (for cases involving Physicians), Physician Assistant (for cases involving Physician Assistants) or other allied health professional, with specific experience, to provide expert opinion as to whether the care rendered by a medical practitioner under review met the standards of quality care and/or violated any other provisions of the Maryland Medical Practice Act.
  35. Sensitive Data - Means PII;PHI; other proprietary or confidential data as defined by the State, including but not limited to “personal information” under Md. Code Ann., Commercial Law § 14-3501(e) and Md. Code Ann., St. Govt. § 10-1301(c) and information not subject to disclosure under the Public Information Act, Title 4 of the General Provisions Article; and information about an individual that (1) can be used to distinguish or trace an individual’s identity, such as name, social security number, date and place of birth, mother’s maiden name, or biometric records; or (2) is linked or linkable to an individual, such as medical, educational, financial, and employment information.
  36. State – The State of Maryland.
  37. Testimony - Statements under oath of the Reviewers as an expert witness as to the standards of quality care applicable to care and treatment provided by the Physician under review, the adequacy of the medical records reviewed and/or violations of any other provisions of the Maryland Medical Practice Act.
  38. Total Bid Price - The Bidder’s bid price or evaluated bid price for goods and services in response to this solicitation, included in **Attachment B** – Bid Form.
  39. Veteran-owned Small Business Enterprise (VSBE) – A business that is verified by the Center for Verification and Evaluation (CVE) of the United States Department of Veterans Affairs as a veteran-owned small business. See Code of Maryland Regulations (COMAR) 21.11.13.

Appendix 2. MD Board of Physicians Complaint Process



**Appendix 3. Historical Information**

Historical Information — For General Informational Use Only

Medical Specialties Utilized for Peer Review

| Specialty/Year      | 2014                   | 2014                     | 2015                   | 2015                     | 2016                   | 2016                     | 2017                   | 2017                     | 2018                   | 2018                     |
|---------------------|------------------------|--------------------------|------------------------|--------------------------|------------------------|--------------------------|------------------------|--------------------------|------------------------|--------------------------|
|                     | Single Patient Reviews | Multiple Patient Reviews | Single Patient Reviews | Multiple Patient Reviews | Single Patient Reviews | Multiple Patient Reviews | Single Patient Reviews | Multiple Patient Reviews | Single Patient Reviews | Multiple Patient Reviews |
| INTERNAL MEDICINE   |                        | 1                        | 1                      | 6                        |                        | 4                        |                        | 7                        | 1                      |                          |
| FAMILY MEDICINE     |                        | 1                        |                        | 2                        |                        | 1                        |                        | 6                        |                        | 1                        |
| OB/GYN              |                        |                          |                        | 3                        |                        | 2                        |                        | 1                        | 1                      | 2                        |
| PSYCHIATRY          |                        | 1                        | 1                      | 6                        |                        | 4                        |                        | 7                        |                        | 7                        |
| ORTHOPEDICS         |                        |                          |                        |                          |                        |                          |                        | 1                        |                        |                          |
| SURGERY             |                        |                          |                        | 5                        |                        | 6                        |                        |                          | 1                      | 2                        |
| PEDIATRICS          |                        |                          |                        | 1                        |                        |                          |                        |                          |                        |                          |
| NEUROLOGY           |                        |                          | 1                      |                          |                        | 2                        |                        |                          |                        |                          |
| UROLOGY             |                        |                          |                        |                          |                        | 2                        |                        |                          |                        |                          |
| PAIN MANAGEMENT     |                        | 1                        |                        | 14                       |                        | 10                       |                        | 24                       |                        | 9                        |
| OTOLARYNGOLOGY      |                        |                          |                        |                          |                        |                          | 1                      |                          |                        | 2                        |
| CARDIOLOGY          |                        |                          |                        |                          |                        |                          |                        |                          |                        | 2                        |
| DERMATOLOGY         |                        |                          |                        |                          |                        |                          |                        | 1                        |                        |                          |
| ADDICTION PSY/MED   |                        | 1                        |                        |                          |                        |                          |                        | 1                        |                        |                          |
| RHEUMATOLOGY        |                        |                          |                        | 1                        |                        |                          |                        |                          |                        |                          |
| NEUROSURGERY        |                        |                          |                        |                          |                        |                          |                        |                          |                        | 1                        |
| GASTRO              |                        |                          |                        |                          |                        |                          |                        |                          |                        | 1                        |
| PHYSICIAN ASSISTANT |                        |                          |                        |                          |                        | 1                        |                        | 2                        |                        | 1                        |

**Appendix 4. Elements on Training Program**

**Elements of a Training Program for Reviewers**

**Solicitation #: MDH/OPASS#20-18646**

(The Board acknowledges that some of this material is derived from the Oregon Board of Medical Examiners "Handbook for BME Consultants" August 2001 though that publication forms no part of this list of essential training elements.)

**I. Board Investigative Process.**

Reviewers should be familiar with the investigative process of the Board. The Board offers a short tutorial to new Physicians which outlines the process, includes a flowchart of the disciplinary process under the State Board of Physicians, and provides useful links. Reviewers may access this tutorial at <https://www.mbp.state.md.us/bpqaipo/> (New Physician Orientation. Log on a Guest.) The authorizing statute may be accessed at <http://mgaleg.maryland.gov/mgaweb/Laws/StatuteText?article=gho&section=14-401.1&enactments=False&archived=False> (Health Occupations Article, §§14-401.1 thru 415); and regulations at [https://www.mbp.state.md.us/resource\\_information/res\\_pro/resource\\_Practitioner\\_regs.aspx](https://www.mbp.state.md.us/resource_information/res_pro/resource_Practitioner_regs.aspx) (COMAR 10.32.02.01 through 10.32.02.10).

**II. Role of the Reviewers**

The attached flow chart shows the process a complaint goes through from the time it is received by the Board of Physicians until it reaches final resolution. If the Board determines that a full investigation is warranted, the case is sent to the Peer Review Contractor and then assigned to Reviewers under this Contract.

The case would then be assigned to a Reviewer under this contract. The Reviewer's expertise in the licensee's specialty (or the procedures in question in a case) provides the Board a basis on which to decide whether or not to charge and/or sanction a Physician with failure to meet the standard of quality medical or surgical care, inadequate documentation or another violation of the Medical Practice Act. A written Peer Review report, and, in some cases, expert witness testimony by the Peer Reviewers, provides the Board with an expert opinion in this case.

The Reviewer is asked his/her opinion on whether the licensee's action or lack of action was consistent with the standard of quality care (regardless of whether or not this care can be shown to have resulted in actual harm to the patient), whether documentation was adequate and whether a licensee's conduct was consistent with other grounds under the Maryland Medical Practice Act. Reviewers do not make a final decision on whether a violation of the Medical Practice Act has occurred. The Board of Physicians has the authority to charge and/or sanction a Physician under the Medical Practice Act. The Peer Review report assists them to determine if a violation has in fact occurred.

The contractor will ask the Reviewers about conflicts of interest. Some of the more common conflicts of interest include personal or professional relationships with the licensee under review or the patient or complainant (e.g., reviewing the medical care provided by or to friends, family members, economic partners, or competitors).

**VI. What is an Expert Witness?**

The rules of evidence generally provide that if scientific, technical or other specialized knowledge will assist the trier of fact or a deliberative body (such as the Board of Physicians) to understand the evidence or to determine a fact in an issue, then a witness qualified as an expert by knowledge, skill, experience, and training may testify thereto in the form of an opinion or otherwise. In the event that a case results in charges against a licensee, the Reviewer may become an expert witness. When a Reviewer accepts a case for review, the Reviewer may also

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be required to appear and testify regarding his or her expert opinions during a hearing on the case.

a. Hearings: What to Expect

If the Board of Physicians votes to charge a licensee with a violation of the Medical Practice Act and the licensee contests the charge, a hearing at the Office of Administrative Hearings is held. The majority of cases settle without the need for an evidentiary hearing. Typically, the need for such a hearing and the need for an expert witness's testimony will be known several months in advance. The administrative prosecutor in the case will assist a Peer Reviewers in preparing for a hearing. A Peer Reviewers will not usually be required to travel in order to engage in this preparation, however, will likely be required to travel to the Office of Administrative Hearings in order to testify and/or be present to consult with the Administrative Prosecutor during witness testimony.

During the direct examination, the administrative prosecutor will question the Reviewer first. The initial questions will be about education, training and experience. These questions are designed to "qualify" the Reviewers-that is, establish the qualifications as an expert for the official record.

After a Reviewer has been qualified as an expert, the Board attorney will question the Reviewer about the medical records reviewed. The Reviewer will be given a copy of the medical records to refer to for specific page numbers, dates, lab reports and quotes. The Reviewer is not expected to recite every detail in the medical record from memory. The Reviewer may ask to see the medical records. Any document reviewed, read or referred to while the Reviewer is on the witness stand is legally available to both the Board attorney and to the defense attorney.

After direct examination, the licensee's attorney will have the opportunity to ask leading questions of the Reviewer on cross-examination. Additionally, the Administrative Law Judge may ask the Reviewer questions. Prior to the evidentiary hearing, the Administrative Prosecutor will meet with the Reviewer to prepare him or her for the hearing process.

III. Report Writing (The Opinion)

The Reviewer's opinion will be initially embodied in a written document, using the report format specified. It should be clear, specific, and complete. The report should avoid abbreviations and use plain English as much as possible, since many non-medical people will read the report.

The report should be specific in describing the factors which made the Reviewers believe that the licensee's action or inaction resulted in (or failed to result in) quality care, inadequate documentation or any other issue the Board has asked the Reviewer to address. If it is the Reviewer's opinion that the licensee did in fact provide competent and quality care and was not in violation of the grounds he or she was asked to review, the Reviewer should state this plainly and explain the reasons for this opinion.

The Peer Review report is not a public document. Names of the patients whose care is subject to a Peer Review may if necessary be used without disguising them with initials or other means of protecting the identity of the patient. Should the case record be the subject of a court appeal at any point, the names of the patients in the Peer Review report will be redacted, or the record will be sealed or both. Avoid inflammatory or derogatory remarks. Reviewers should be aware that Board members and staff, the administrative prosecutor, the licensee, the licensee's attorney, and/or an administrative law judge may read the report, should the case go to adjudication.



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Reviewers need to consider when the events under review took place and when particular advances in the profession became part of the standard of quality care. For example, if pulse oximeters or other technology were not widely available at the time of an incident in which their use is now standard, make a note of this fact. The care should be judged against the standard at the time the events occurred.

**IV. Confidentiality**

All health care practitioners have a duty in law to maintain confidentiality of their patients. Confidentiality is equally important when dealing with the work of the Board of Physicians, since all records of the Board, including the medical records reviewed and the Peer Review report are made confidential by law. All documents that the Reviewers receive or discussions they have with authorized individuals (Board staff, another Reviewer on the case, contractor, or administrative prosecutor) are confidential. Reviewers should not tell anyone that they are reviewing a particular case. Refer questions to the Board of Physicians through the Department's Contract Monitor.

**V. Conflict of Interest.**

If the Reviewer believes that he or she has a conflict of interest in reviewing a particular licensee, the Reviewers should notify the Peer Review contractor as soon as possible. Reviewers should feel comfortable and unbiased about the work they do so that they can provide a completely objective opinion and avoid any real or apparent conflict of interest.

During his/her testimony, the Reviewer should try to avoid using medical jargon whenever possible. If the Reviewer does use jargon or difficult scientific terms, the Reviewer should try to define or explain them in lay terms. This testimony must be understood by:

1. Attorneys (who are probably unfamiliar with medical terminology).
2. Board members, some of whom are non-Physicians. Many of the Physicians may practice in an unrelated sub-specialty.
3. In the event of an appeal, by a judge who may review a written transcript of the Reviewer's testimony.

If it would be easier for the Reviewer to explain certain concepts by drawing pictures or diagrams or referring to photographs, the Reviewer should tell the Board attorney in advance. Arrangements can be made to have a flip chart, lighted view boxes for displaying X-rays, a slide projector, or other helpful materials available in the hearing room.

**Appendix 5. Guidelines for Using Report Forms**

**MARYLAND BOARD OF PHYSICIANS**

Maryland Department of Health  
4201 Patterson Avenue Baltimore, Maryland 21215-0095

Telephone 410-764-4777

Toll Free 800-492-6836

Fax 410-358-2252

**GENERAL GUIDELINES FOR USING THE PEER REVIEW REPORT FORM**

The Maryland Board of Physicians (MBP) has developed electronic forms that are to be used for standard of care cases that are referred to a contract agency for peer review. The guidelines apply to the following electronic document:

- **Peer Review Form-Incident Case/ Practice Review—this** document is to be used by the MBP's Compliance Unit and the Reviewers. The MBP should complete Section A (Case Background) in order to ensure that the appropriate material is provided and that the Reviewers understands the focus of the review. The rest of the Peer Review Form, Sections B - D must be completed by the Reviewers.

**Using the electronic Peer Review forms:**

- The electronic Peer Review forms have been developed using Microsoft Word form tools.
- To use the form, follow the following steps:
  1. Click on the form and open the document
  2. A password menu will pop up, don't enter a password. Instead click on the "read-only option".
  3. Save the file under a different name in a folder on your computer.
  4. Complete the form.
- In order to complete the form, Sections A – C, fill out only the gray areas.
  1. For text fields ( ), allows typing in text in a standard format. Text entered into these fields can be as brief or as lengthy as necessary.
  2. For drop-down fields (Select One), simply place the cursor on the drop down menu, place the cursor on the appropriate option and right click.
  3. When you have completed the form, print the form and sign and/or initial the designated sections.

The form is protected - only the gray areas can be changed.

**General information about Peer Reviews:**

- Each Reviewer is to complete a Peer Review report using the electronic form.
- Provide a response to each of the questions. If you answer "yes" or "no" to any question, please provide a detailed explanation to support your response.
- The Peer Review report is an expert opinion on whether the standard of quality care has been met in the care rendered to a patient or to several patients, including but not limited to, specific aspects of the care and treatment rendered.
- The Peer Review report should be as detailed as necessary to provide the expert opinion requested, clearly written, specific to the issues, and complete.
- The Peer Review report should not include inflammatory or derogatory remarks.

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**ATTACHMENT 5-1**

**PEER REVIEW FORM—INCIDENT CASE  
MARYLAND BOARD OF PHYSICIANS**

Maryland Department of Health  
4201 Patterson Avenue Baltimore, Maryland 21215-0095

Telephone 410-764-4777                      Toll Free 800-492-6836                      Fax 410-358-2252

**A. CASE BACKGROUND (To be completed by MBP Compliance Unit)**

- 1.) Licensee Name:
- 2.) MBP Case Number:
- 3.) License Number:
- 4.) Type of Review Requested:              Select One
- 5.) Focus of Peer Review:

This case is being referred for review of the care rendered to this patient. The Reviewers should comment on overall care provided to this patient. More specifically, each Peer Review report must:

- demonstrate a knowledge of the background of the complaint and of the medical treatment at issue;
- state what standard of quality care is required in this instance;
- 6.) state whether the care rendered by the Physician in this case:
- 7.) What does the standard of quality care require in the treatment of this patient in this circumstance?
- 8.) a. Did the care provided to the patient meet the standard of quality care?
- b. Provide the basis of your opinion:
- 9.) a. Was the documentation in the record adequate?
- b. Provide the details to support your response:
- 10.) Please discuss any additional concerns in detail (complete if the Board requested a focus of review in Section A, item 5):

**D. REVIEWER'S STATEMENT (To be completed by the Peer Reviewers)**

|                                      |           |      |
|--------------------------------------|-----------|------|
|                                      |           |      |
| 17.) Typed/ Printed Name of Reviewer | Signature | Date |

I have reviewed the records, as stated in this report, and am willing to testify regarding the care rendered by the Physician under review in this case. I declare under the penalties of perjury that I am not aware of any professional or personal relationship or other conflict of interest which exists which would prevent me from rendering an objective and impartial opinion in this case.

*Peer Reviewers' Initials*

**ATTACHMENT 5-2**

**Solicitation #: MDH/OPASS#20-18646**

|  |   |                                   |  |
|--|---|-----------------------------------|--|
| <b>PEER<br/>MARYLAND</b><br>Maryland<br>4201 Patterson Avenue Baltimore, Maryland 21215-0095<br><br>Telephone 410-764-4777 | <b>REVIEW<br/>BOARD</b><br>Department<br><br>Toll Free 800-492-6836 | <b>FORM—PRACTICE<br/>OF</b><br>of | <b>REVIEW<br/>PHYSICIANS</b><br>Health<br><br>Fax 410-358-2252 |
|--|---|-----------------------------------|--|

**A. CASE BACKGROUND (To be completed by MBP Compliance Unit)**

- 1.) Licensee Name:
- 2.) MBP Case Number:
- 3.) License Number:
- 4.) Type of Peer Review Requested: Select One
- 5.) Number of charts to be reviewed:
- 6.) Focus of Peer Review:

The Board has requested a Peer Review of the Physician's practice and involves the review of six to ten randomly selected patient charts. In reviewing the materials for the standard of quality care rendered by the Physician, please consider all aspects of the care rendered to each patient. More specifically, the Peer Review report **for each patient** must:

- demonstrate a knowledge of the background of the complaint and of the medical treatment at issue;
- state what standard of quality care is required in this instance;
- state whether the care rendered by the Physician did or did not meet the standard of quality care;
- state the bases for that opinion; and

In addition, the Board has requested that the Peer Review report should address the following concerns:

**B. PEER REVIEWERS INFORMATION (To be completed by the Peer Reviewers)**

- 7.) Physician Reviewer's Name:
- 8.) Physician Reviewer's License #:
- 9.) Physician Reviewer's ABMS/ AOA Certification:

**C. PEER REVIEW REPORT (To be completed by the Peer Reviewers) CHART # 1**

- 10.) Name of patient:
- 11.) List of material reviewed:
- 12.) Provide a detailed summary of this patient's medical history as it relates to the care at issue:
- 13.) Provide a detailed summary of the care provided to this patient by the Physician in this case:
- 14.) What does the standard of quality care require in the treatment of this patient in this circumstance?
- 15.) a. Did the care provided to the patient meet the standard of quality care?  
  
b. Provide the basis of your opinion:
- 16.) a. Was the documentation in the record adequate?

b. Provide the details to support your response:

Please discuss any additional concerns in detail (complete if the Board requested a focus of review in Section A, item 6):

\_\_\_\_\_ Reviewer's Initials

**Solicitation #: MDH/OPASS#20-18646**

**C. PEER REVIEW REPORT (To be completed by the Peer Reviewers) CHART # 2**

- 10.) Name of patient:
- 11.) List of material reviewed: 0
- 12.) Provide a detailed summary of this patient's medical history as it relates to the care at issue:
- 13.) Provide a detailed summary of the care provided to this patient by the Physician in this case:
- 14.) What does the standard of quality care require in the treatment of this patient in this circumstance?
- 15.) a. Did the care provided to the patient meet the standard of quality care?  
  
b. Provide the basis of your opinion:
- 16.) a. Was the documentation in the record adequate?  
  
b. Provide the details to support your response:
- 17.) Please discuss any additional concerns in detail (complete if the Board requested a focus of review in Section A, item 6):

**C. PEER REVIEW REPORT (To be completed by the Peer Reviewers) CHART # 3**

- 10.) Name of patient:
- 11.) List of material reviewed: •
- 12.) Provide a detailed summary of this patient's medical history as it relates to the care at issue:
- 13.) Provide a detailed summary of the care provided to this patient by the Physician in this case:
- 14.) What does the standard of quality care require in the treatment of this patient in this circumstance?
- 15.) a. Did the care provided to the patient meet the standard of quality care?  
  
b. Provide the basis of your opinion:
- 16.) a. Was the documentation in the record adequate?  
  
b. Provide the details to support your response:
- 17.) Please discuss any additional concerns in detail (complete if the Board requested a focus of review in Section A, item 6):

**D. PEER REVIEWERS'S STATEMENT (To be completed by the Peer Reviewers)**

18.) \_\_\_\_\_  
Typed/ Printed Name of Peer Reviewers                      Signature                      Date

I have reviewed the records, as stated in this report, and am willing to testify regarding the care rendered by the Physician under review in this case. I declare under the penalties of perjury that I am not aware of any professional or personal relationship or other conflict of interest which exists which would prevent me from rendering an objective and impartial opinion in this case

**Solicitation #: MDH/OPASS#20-18646**

**Appendix 6. Bidder Affidavit**

**STATE OF MARYLAND  
Affidavit**

I am over the age of 18 years and competent to testify.

I hereby declare and affirm under the penalties of perjury that I am the

\_\_\_\_\_ (*Position*) and as such I am an authorized agent for the  
bidder \_\_\_\_\_ who has bid or intends to bid on the  
solicitation for peer review services by the Maryland Board of Physicians.

I have reviewed the solicitation and am aware that the required work plan mandates that all Physician Reviewers must be board certified by the American Board of Medical Specialties or the American Osteopathic Association and have five or more years' post-residency, clinical experience in the practice of medicine. I am also aware that all allied health practitioner and Physician Assistant Reviewers must have five or more years' clinical experience in the corresponding discipline.

I certify \_\_\_\_\_ (*Bidder*) has more than five years' experience coordinating review services for a government agency.

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

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

\_\_\_\_\_  
(Bidder)