Request for Proposal
UK-1767-18
Proposal Due Date – 12/14/2017

Biohazardous & Regulated Medical Waste Collection, Transportation & Final Disposal
REQUEST FOR PROPOSAL (RFP)

ATTENTION: This is not an order. Read all instructions, terms and conditions carefully.

PROPOSAL NO.: UK-1767-18
Issue Date: 11/16/2017
Title: Biohazardous & Regulated Medical Waste Collection, Transportation & Final Disposal
Purchasing Officer: Debbie Konichek
Phone: 859-257-5792

IMPORTANT: PROPOSALS MUST BE RECEIVED BY: 12/14/2017 3 P.M. LEXINGTON, KY TIME.

NOTICE OF REQUIREMENTS
1. The University’s General Terms and Conditions and Instructions to Bidders, viewable at www.uky.edu/Purchasing/terms.htm apply to this RFP. When the RFP includes construction services, the University’s General Conditions for Construction and Instructions to Bidders, viewable at www.uky.edu/Purchasing/cphome.htm apply to the RFP.
2. Contracts resulting from this RFP must be governed by and in accordance with the laws of the Commonwealth of Kentucky.
3. Any agreement or collusion among offerors or prospective offerors, which restrains, tends to restrain, or is reasonably calculated to restrain competition by agreement to bid at a fixed price or to refrain from offering, or otherwise, is prohibited.
4. Any person who violates any provisions of KRS 45A.325 shall be guilty of a felony and shall be punished by a fine of not less than five thousand dollars nor more than ten thousand dollars, or be imprisoned not less than one year nor more than five years, or both such fine and imprisonment. Any firm, corporation, or association who violates any of the provisions of KRS 45A.325 shall, upon conviction, be fined not less than ten thousand dollars or more than twenty thousand dollars.

AUTHENTICATION OF BID AND STATEMENT OF NON-COLLUSION AND NON-CONFLICT OF INTEREST
I hereby swear (or affirm) under the penalty for false swearing as provided by KRS 523.040:
1. That I am the offeror (if the offeror is an individual), a partner (if the offeror is a partnership), or an officer or employee of the bidding corporation having authority to sign on its behalf (if the offeror is a corporation);
2. That the attached proposal has been arrived at by the offeror independently and has been submitted without collusion with, and without any agreement, understanding or planned common course of action with, any other Contractor of materials, supplies, equipment or services described in the RFP, designed to limit independent bidding or competition;
3. That the contents of the proposal have not been communicated by the offeror or its employees or agents to any person not an employee or agent of the offeror or its surety on any bond furnished with the proposal and will not be communicated to any such person prior to the official closing of the RFP;
4. That the offeror is legally entitled to enter into contracts with the University of Kentucky and is not in violation of any prohibited conflict of interest, including, but not limited to, those prohibited by the provisions of KRS 45A.330 to .340, and 164.390;
5. That the offeror, and its affiliates, are duly registered with the Kentucky Department of Revenue to collect and remit the sale and use tax imposed by Chapter 139 to the extent required by Kentucky law and will remain registered for the duration of any contract award;
6. That I have fully informed myself regarding the accuracy of the statements made above.

SWORN STATEMENT OF COMPLIANCE WITH CAMPAIGN FINANCE LAWS
In accordance with KRS45A.110 (2), the undersigned hereby swears under penalty of perjury that he/she has not knowingly violated any provision of the campaign finance laws of the Commonwealth of Kentucky and that the award of a contract to a bidder will not violate any provision of the campaign finance laws of the Commonwealth of Kentucky.

CONTRACTOR REPORT OF PRIOR VIOLATIONS OF KRS CHAPTERS 136, 139, 141, 337, 338, 341 & 342
The contractor by signing and submitting a proposal agrees as required by 45A.485 to submit final determinations of any violations of the provisions of KRS Chapters 136, 139, 141, 337, 338, 341 and 342 that have occurred in the previous five (5) years prior to the award of a contract and agrees to remain in continuous compliance with the provisions of the statutes during the duration of any contract that may be established. Final determinations of violations of these statutes must be provided to the University by the successful contractor prior to the award of a contract.

CERTIFICATION OF NON-SEGREGATED FACILITIES
The contractor, by submitting a proposal, certifies that he/she is in compliance with the Code of Federal Regulations, No. 41 CFR 60-1.8(b) that prohibits the maintaining of segregated facilities.

SIGNATURE REQUIRED: This proposal cannot be considered valid unless signed and dated by an authorized agent of the offeror. Type or print the signatory's name, title, address, phone number and fax number in the spaces provided. Offers signed by an agent are to be accompanied by evidence of his/her authority unless such evidence has been previously furnished to the issuing office.

DELIVERY TIME: NAME OF COMPANY: DUNS #
PROPOSAL FIRM THROUGH: ADDRESS: Phone/Fax:
PAYMENT TERMS: CITY, STATE & ZIP CODE: E-MAIL:
SHIPPING TERMS: F. O. B. DESTINATION TYPED OR PRINTED NAME: WEB ADDRESS:
FEDERAL EMPLOYER ID NO.: SIGNATURE: DATE:

Revised 1-5-2017
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Attachment A - The University of Kentucky HealthCare Physical Plant Division Chandler Medical Center & Good Samaritan Hospital. Vendor Relations Guidelines.
1.0 DEFINITIONS

The term "addenda" means written or graphic instructions issued by the University of Kentucky prior to the receipt of proposals that modify or interpret the RFP documents by additions, deletions, clarifications and/or corrections.

The term "Biohazardous Waste" means cultures and stocks of infectious agents, and associated microorganisms and biologicals. Discarded cultures, culture dishes and devices used to transfer, inoculate and mix cultures, stocks, specimens, live and attenuated vaccines and associated items if they are likely to contain organisms likely to be pathogenic to healthy humans. Discarded etiologic agents and wastes from the production of biologicals and antibiotics likely to have been contaminated by organisms likely to be pathogenic to healthy humans. Waste that originates from clinical or research laboratory procedures involving communicable infectious agents. Waste materials potentially contaminated with recombinant or synthetic nucleic acid containing material or genetically modified organisms which may be hazardous to humans, animals, plants or the environment.

The term "competitive negotiations" means the method authorized in the Kentucky Revised Statutes, Chapter 45A.085.

The term "contractor" means the entity receiving a contract award.

The term “DOT” means the Department of Transportation.

The term “EPA” means the Environmental Protection Agency.

The terms "offer" or “proposal" mean the offeror’s/offerors’ response to this RFP.

The term "offeror" means the entity or contractor group submitting the proposal.

The term “OSHA” means the Occupational Safety and Health Administration.

The term "purchasing agency" means the University of Kentucky, Purchasing Division, Room 322 Peterson Service Building, Lexington, KY 40506-0005.

The term "purchasing official" means the University of Kentucky’s appointed contracting representative.

The term “RMW” means Regulated Medical Waste: Any solid waste which is generated in the diagnosis, treatment or immunization of human beings or animals, in research, in research pertaining thereto, or in the production or testing of biologicals. Contaminated items that would release blood or other potentially infectious materials in a liquid or semi-liquid state if compressed; items that are caked with dried blood or other potentially infectious materials and are capable of releasing these materials during handling. **RMW** also includes: “Animal Wastes” - animal carcasses, body parts, bedding and related wastes that may have been exposed to infectious agents during research, production of biologicals, or testing of pharmaceuticals. “Pathological Waste” - all human anatomical wastes and all wastes that are human tissues, organs, or body parts removed by trauma, during surgery, autopsy, studies, or another hospital procedure, which is intended for disposal; “Sharps” - items that can induce subdermal inoculation of infectious agents or that can easily penetrate the skin, puncture waste bags and cardboard boxes, sharps that have been used or are intended to be used in human or animal patient care or in medical, research, or industrial laboratories, including...
hypodermic needles, syringes, Pasteur pipettes, capillary tubes, broken glass from the laboratory including slides and slide covers, razor blades, and scalpel blades.

The term "responsible offeror" means a person, company or corporation that has the capability in all respects to perform fully the contract requirements and the integrity and reliability that will assure good faith performance. In determining whether an offeror is responsible, the University may evaluate various factors including (but not limited to): financial resources; experience; organization; technical qualifications; available resources; record of performance; integrity; judgment; ability to perform successfully under the terms and conditions of the contract; adversarial relationship between the offeror and the University that is so serious and compelling that it may negatively impact the work performed under this RFP; or any other cause determined to be so serious and compelling as to affect the responsibility of the offeror.

The term "solicitation" means RFP.

The term "University" means University of Kentucky.
2.0 GENERAL OVERVIEW

2.1 Intent and Scope

This solicitation is issued to receive proposals from qualified, financially sound and responsible vendors to collect and responsibly manage the collection, transportation, and disposal through its own resources (self-directed) or a combination of internal and 3rd party resources, the following waste streams as noted in information posted by the Healthcare Environmental Resource Center (HERC) and in accordance with applicable laws and regulations and best practices:

**Biohazardous Waste** - cultures and stocks of infectious agents, and associated microorganisms and biologicals. Discarded cultures, culture dishes and devices used to transfer, inoculate and mix cultures, stocks, specimens, live and attenuated vaccines and associated items if they are likely to contain organisms likely to be pathogenic to healthy humans. Discarded etiologic agents and wastes from the production of biologicals and antibiotics likely to have been contaminated by organisms likely to be pathogenic to healthy humans. Waste that originates from clinical or research laboratory procedures involving communicable infectious agents. Waste materials potentially contaminated with recombinant or synthetic nucleic acid containing material or genetically modified organisms which may be hazardous to humans, animals, plants or the environment.

**Regulated Medical Waste (RMW)** – A waste as defined in Section 1.0 and also including:

- **Pathological Waste** which is all human anatomical wastes and all wastes that are human tissues, organs, or body parts removed by trauma, during surgery, autopsy, studies, or another hospital procedure, which is intended for disposal;
- **Sharps** which are items that can induce subdermal inoculation of infectious agents or that can easily penetrate the skin, puncture waste bags and cardboard boxes, sharps that have been used or are intended to be used in human or animal patient care or in medical, research, or industrial laboratories, including hypodermic needles, syringes, Pasteur pipettes, capillary tubes, broken glass from the laboratory including slides and slide covers, razor blades, and scalpel blades;
- **Animal Wastes** animal carcasses, body parts, bedding and related wastes that may have been exposed to infectious agents during research, production of biologicals, or testing of pharmaceuticals.

The primary service area for this RFP is The University of Kentucky Healthcare System, however service may be required at additional on-campus and off-campus locations. Please see Attachment A for “The University of Kentucky HealthCare Physical Plant Division Chandler Medical Center & Good Samaritan Hospital”.

The successful offeror shall be a company that is familiar with and adheres to all of the federal, state and local regulations pertaining to the management of such wastes. The successful offeror shall agree to make its services available to the University on an as-needed basis during the term of this Contract with the understanding that the University makes no representations or guarantees as to the actual amount of services used under the terms of this Contract. The services shall be provided as described herein, but if offeror’s have alternate disposal options or technologies that are available; they shall also describe and price them in their proposal. The scope of services is further defined in Section 7.0.

Offerors shall comply with the hazardous material regulations of the U.S. DOT as specified in Title
49 of the Code of Federal Regulations. The offeror warrants that it has all permits and licenses for transporting the wastes required by state and federal regulations. The offeror shall carry, and require all carriers it engages to carry, insurance and shall provide the University with copies of all insurance certificates. Drivers of transportation vehicles shall comply with University safety procedures while on University property.

The University shall have the right to inspect and obtain copies of all written licenses, permits or approvals, issued by any governmental entity or agency to contractor or its subcontractors which are applicable to the performance of this contract. Copies of applicable documents shall be furnished to the UK RMW Coordinator upon award of the contract and annually thereafter for the life of the contract. The University will inspect and/or test transportation vehicles or vessels, packing and shipping containers or disposal facilities provided by the Contractor, and will inspect the handling, loading, transportation, and storage or disposal operations conducted by the Contractor in the performance of this contract.

2.2 Background Information

The University generates wastes which meet the criteria as described below at various locations. These wastes are accumulated by University personnel for pick-up, transportation and final disposal by the selected Contractor. The total volume of RMW and Biohazardous waste generated and offered for pick up and disposal is estimated to be approximately 500,000 pounds annually.

In addition to the primary facilities, wastes may be picked up at multiple secondary locations. Addresses for the primary locations and some of the secondary locations are listed in the table below along with the current pick-up frequency and amounts. As business needs dictate, pick up may be requested at additional on-campus and off-campus facilities on a case by case basis.

<table>
<thead>
<tr>
<th>University of Kentucky Albert B. Chandler Hospital</th>
<th>Environmental Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>800 Rose Street Lexington, KY 40506</td>
<td>355 Cooper Drive Lexington, KY 40506</td>
</tr>
<tr>
<td>(Daily Pick-Up of Approximately 85 Containers**)</td>
<td>(Bi-Weekly Pick-Up of Approximately 4 Containers)</td>
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<table>
<thead>
<tr>
<th>UK Healthcare Good Samaritan Hospital</th>
<th>Veterinary Diagnostic Laboratory</th>
</tr>
</thead>
<tbody>
<tr>
<td>310 South Limestone Street Lexington, KY 40508</td>
<td>1490 Bull Lea Road Lexington, KY 40511</td>
</tr>
<tr>
<td>(Twice-Weekly Pick-Up of Approximately 24 Containers)</td>
<td>(Weekly Pick-Up of Approximately 12 Containers)</td>
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<table>
<thead>
<tr>
<th>Kentucky Clinic</th>
<th>June Buchanan Clinic</th>
</tr>
</thead>
<tbody>
<tr>
<td>740 South Limestone Street Lexington, KY 40506</td>
<td>59 Cowtown Road Hindman, KY 41822</td>
</tr>
<tr>
<td>(Twice-Weekly Pick-Up of Approximately 6 Containers)</td>
<td>(Bi-Weekly Pick-Up of Approximately 1 Container)</td>
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<table>
<thead>
<tr>
<th>UK Polk Dalton Clinic</th>
<th>Maysville Cancer Treatment Center</th>
</tr>
</thead>
<tbody>
<tr>
<td>217 Elm Tree Lane Lexington, KY 40507</td>
<td>1115 Progress Way Maysville, KY 41056</td>
</tr>
<tr>
<td>(Weekly Pick-Up of Approximately 2 Containers)</td>
<td>(Quarterly Pick-Up of Approximately 1 Container)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>UK Family Care Center</th>
<th>UK Healthcare Georgetown</th>
</tr>
</thead>
<tbody>
<tr>
<td>1135 Red Mile Place Lexington, KY 40504</td>
<td>Landmark Office Complex 202 Bevins Lane Georgetown, KY 40324</td>
</tr>
<tr>
<td>(Bi-Weekly Pick-Up of Approximately 1 Container)</td>
<td>(Weekly Pick-Up of Approximately 1 Container)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Kentucky Clinic South – Pain Management, Pediatrics &amp; Team Blue Primary Care Clinic</th>
<th>UK Center for Rural Health</th>
</tr>
</thead>
<tbody>
<tr>
<td>2400 Greatstone Pt. Lexington, KY 40504</td>
<td>750 Morton Blvd Hazard, KY 41701</td>
</tr>
<tr>
<td>(Weekly Pick-Up of Approximately 2 Containers)</td>
<td>(Weekly Pick-Up of Approximately 2 Containers)</td>
</tr>
</tbody>
</table>
2.3 University Information

Since his arrival, President Eli Capilouto has set forth an ambitious agenda to extend and enhance our role as Kentucky’s land-grant and flagship Research University. By focusing on infrastructure growth and improvement; creating opportunities for innovative teaching, learning, and academic excellence; fostering a robust research and creative scholarship enterprise; providing life-saving subspecialty care; empowering communities through service and outreach; and encouraging a transparent and shared dialogue about institutional priorities; the University of Kentucky will ensure a new century of promise for the people we impact.

Founded in 1865 as a land-grant institution adjacent to downtown Lexington, UK is nestled in the scenic heart of the beautiful Bluegrass Region of Kentucky. From its early beginnings, with only 190 students and 10 professors, UK’s campus now covers more than 918 acres and is home to more than 30,000 students and approximately 14,500 employees, including more than 2,300 full-time faculty. UK is one of a small number of universities in the United States that has programs in agriculture, engineering, a full complement of health colleges including medicine and pharmacy, law and fine arts on a single campus, leading to groundbreaking discoveries and unique interdisciplinary collaboration. The state’s flagship university consists of 17 academic and professional colleges where students can choose from more than 200 majors and degree programs at the undergraduate and graduate levels. The colleges are Agriculture, Food and Environment; Arts and Sciences; Business and Economics; Communication and Information; Dentistry; Design; Education; Engineering; Fine Arts; Graduate School; Health Sciences; Law; Medicine; Nursing; Pharmacy; Public Health; and Social Work. These colleges are supported by a modern research library system.

Research at the University of Kentucky is a dynamic enterprise encompassing both traditional scholarship and emerging technologies, and UK’s research faculty, staff and students are establishing UK as one of the nation’s most prolific public research universities. UK’s research enterprise attracted $285 million in research grants and contracts from out-of-state sources, which generated a $580 million impact on the Kentucky economy. Included in this portfolio is $153 million in federal awards from the National Institutes of Health, non-NIH grants from the Department Health and Human Services, the National Science Foundation, Department of Energy, Department of
Agriculture and NASA, among others. The National Science Foundation ranks UK’s research enterprise 44th among public institutions.

With more than 50 research centers and institutes, UK researchers are discovering new knowledge, providing a rich training ground for current students and the next generation of researchers, and advancing the economic growth of the Commonwealth of Kentucky. Several centers excel in the services offered to the public. The Gluck Equine Research Center is one of only three facilities of its kind in the world, conducting research in equine diseases.

The Center for Applied Energy Research is pursuing groundbreaking discovery across the energy disciplines. CAER staff are pioneering new ways to sustainably utilize Kentucky natural resources through carbon-capture algae technology, biomass/coal to liquid products and the opening of UK’s first LEED-certified research lab to support the development of Kentucky’s growing alternative energy industry. Among the brightest examples of UK’s investment in transformative research is the Markey Cancer Center. As a center of excellence and distinction at UK, Markey’s robust research and clinical enterprise is the cornerstone of our commitment to Kentucky – fundamental to our success in uplifting lives through our endeavors and improving the general health and welfare of our state – burdened by the nation’s highest rate of cancer deaths per 100,000 people. In 2013, Markey earned the prestigious National Cancer Institute-designation (NCI) – one of 68 nationally and the only one in Kentucky.

The University of Kentucky was awarded a $20 million Clinical Translational Sciences Award (CTSA) from the National Institutes of Health (NIH). As one of only 60 institutions with this research distinction, UK was awarded the CTSA for its potential in moving research and discovery in the lab into practical field and community applications. The CTSA and NCI are part of a trifecta of federal research grants that includes an Alzheimer’s Disease Center. UK is one of only 22 universities in the country to hold all three premier grants from NIH.

Established in 1957, the medical center at UK is one of the nation’s finest academic medical centers and includes the University’s clinical enterprise, UK HealthCare. The 569-bed UK Albert B. Chandler Hospital and Kentucky Children’s Hospital, along with 256 beds at UK Good Samaritan Hospital, are supported by a growing faculty and staff providing the most advanced subspecialty care for the most critically injured and ill patients throughout the Commonwealth and beyond. Over the last several years, the number of patients served by the medical enterprise has increased from roughly 19,000 discharges to more than 36,000 discharges in 2014.

UK Chandler Hospital includes the only Level 1 Trauma Center for both adult and pediatric patients in Central and Eastern Kentucky. In addition, UK HealthCare recently opened one of the country’s largest robotic hybrid operating rooms and the first of its kind in the region. While our new patient care pavilion is the leading healthcare facility for advanced medical procedures in the region, our talented physicians consult with and travel to our network of affiliate hospitals so Kentucky citizens can receive the best health care available close to their home and never need to leave the Bluegrass for complex subspecialty care.

UK’s agenda remains committed to accelerating the University’s movement toward academic excellence in all areas and gain worldwide recognition for its outstanding academic programs, its commitment to students, its investment in pioneering research and discovery, its success in building a diverse community and its engagement with the larger society. It is all part of the University’s fulfillment of our promise to Kentucky to position our state as a leader in American prosperity.
3.0 PROPOSAL REQUIREMENTS

3.1 Key Event Dates

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
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<tbody>
<tr>
<td>Release of RFP</td>
<td>11/16/17</td>
</tr>
<tr>
<td>Deadline for Written Questions</td>
<td>3 p.m. 11/28/2017</td>
</tr>
<tr>
<td>RFP Proposals Due</td>
<td>12/14/17</td>
</tr>
<tr>
<td>Offeror Presentations*</td>
<td>1/8/2018</td>
</tr>
<tr>
<td>Contract Award*</td>
<td>1/22/18</td>
</tr>
</tbody>
</table>

*Projected dates

3.2 Offeror Communication

To ensure that RFP documentation and subsequent information (modifications, clarifications, addenda, Written Questions and Answers, etc.) are directed to the appropriate persons within the offeror’s firm, each offeror who intends to participate in this RFP is to provide the following information to the purchasing officer. Prompt, thorough compliance is in the best interest of the offeror. Failure to comply may result in incomplete or delayed communication of addenda or other vital information. Contact information is the responsibility of the offeror. Without the prompt information, any communication shortfall shall reside with the offeror.

- Name of primary contact
- Mailing address of primary contact
- Telephone number of primary contact
- Fax number of primary contact
- E-mail address of primary contact
- Additional contact persons with same information provided as primary contact

This information shall be transmitted via fax or e-mail to:

Debbie Konichek  
Purchasing Division  
University of Kentucky  
322 Peterson Service Building  
Lexington, KY 40506-0005  
Phone: (859) 257-5792  
Fax: (859) 257-1951  
E-mail: dkonichek@uky.edu

All communication with the University regarding this RFP shall only be directed to the purchasing officer listed above.
3.3 **Offeror Presentations**

All offerors whose proposals are judged acceptable for award may be required to make a presentation to the evaluation committee.

3.4 **Preparation of Offers**

The offeror is expected to follow all specifications, terms, conditions and instructions in this RFP.

The offeror will furnish all information required by this solicitation.

Proposals should be prepared simply and economically, providing a description of the offeror’s capabilities to satisfy the requirements of the solicitation. Emphasis should be on completeness and clarity of content. All documentation submitted with the proposal should be bound in the single volume except as otherwise specified.

An electronic version of the RFP, in .PDF format only, is available through the University of Kentucky Purchasing Division web site: [www.uky.edu/purchasing/bidlist.htm](http://www.uky.edu/purchasing/bidlist.htm)

3.5 **Proposed Deviations from the RFP**

The stated requirements appearing elsewhere in this RFP shall become a part of the terms and conditions of any resulting contract. Any deviations therefrom shall be specifically defined in accordance with the transmittal letter, Section 4.3 (d). If accepted by the University, the deviations shall become part of the contract, but such deviations shall not be in conflict with the basic nature of this RFP.

Note: Offerors shall not submit their standard terms and conditions as exceptions to the University’s General Terms and Conditions. Each exception to the University’s General Terms and Conditions shall be individually addressed.

3.6 **Proposal Submission and Deadline**

Offeror must provide the following materials prior to 3 p.m. (Lexington, KY time) on the date specified in Section 3.1 and addressed to the purchasing officer listed in Section 3.2:

- **Technical Proposal:** Ten (10) copies on electronic storage devices (CD or USB) (1 copy per storage device) each clearly marked with the proposal number and name, firm name and what is included (Technical Proposal) and one (1) printed original copy

- **Financial Proposal:** Ten (10) copies on electronic storage devices (CD or USB) (1 copy per storage device) each clearly marked with the proposal number and name, firm name and what is included (Financial Proposal) and one (1) printed original copy

Note: Proposals received after the closing date and time will not be considered. In addition, proposals received via fax or e-mail are not acceptable.
The University of Kentucky accepts deliveries of RFPs Monday through Friday from 8 a.m. to 5 p.m. Lexington, KY time. However, RFPs must be received by 3 p.m. Lexington, KY time on the date specified on the RFP in order to be considered.

Proposals shall be enclosed in sealed envelopes to the above referenced address and shall show on the face of the envelope: the closing time and date specified, the solicitation number and the name and address of the offeror. The technical proposal shall be submitted in a sealed envelope and the financial proposal shall be submitted in a sealed envelope under separate cover. Both sealed envelopes shall have identical information on the cover, with the addition that one will state “Technical Information,” and the other, “Financial Proposal.”

Note: In accordance with the Kentucky Revised Statute 45A.085, there will be no public opening.

3.7 Modification or Withdrawal of Offer

An offer and/or modification of offer received at the office designated in the solicitation after the exact hour and date specified for receipt will not be considered.

An offer may be modified or withdrawn by written notice before the exact hour and date specified for receipt of offers. An offer also may be withdrawn in person by an offeror or an authorized representative, provided the identity of the person is made known and the person signs a receipt for the offer, but only if the withdrawal is made prior to the exact hour and date set for receipt of offers.

3.8 Acceptance or Rejection and Award of Proposal

The University reserves the right to accept or reject any or all proposals (or parts of proposals), to waive any informalities or technicalities, to clarify any ambiguities in proposals and (unless otherwise specified) to accept any item in the proposal. In case of error in extension or prices or other errors in calculation, the unit price shall govern. Further, the University reserves the right to make a single award, split awards, multiple awards or no award, whichever is in the best interest of the University.

3.9 Rejection

Grounds for the rejection of proposals include (but shall not be limited to):

- Failure of a proposal to conform to the essential requirements of the RFP.

- Imposition of conditions that would significantly modify the terms and conditions of the solicitation or limit the offeror’s liability to the University on the contract awarded on the basis of such solicitation.

- Failure of the offeror to sign the University RFP. This includes the Authentication of Proposal and Statement of Non-Collusion and Non-Conflict of Interest statements.

- Receipt of proposal after the closing date and time specified in the RFP.
3.10 Addenda

Any addenda or instructions issued by the purchasing agency prior to the time for receiving proposals shall become a part of this RFP. Such addenda shall be acknowledged in the proposal. No instructions or changes shall be binding unless documented by a proper and duly issued addendum.

3.11 Disclosure of Offeror’s Response

The RFP specifies the format, required information and general content of proposals submitted in response to this RFP. The purchasing agency will not disclose any portions of the proposals prior to contract award to anyone outside the Purchasing Division, the University’s administrative staff, representatives of the state or federal government (if required) and the members of the committee evaluating the proposals. After a contract is awarded in whole or in part, the University shall have the right to duplicate, use or disclose all proposal data submitted by offerors in response to this RFP as a matter of public record.

Any submitted proposal shall remain valid six (6) months after the proposal due date.

The University shall have the right to use all system ideas, or adaptations of those ideas, contained in any proposal received in response to this RFP. Selection or rejection of the proposal will not affect this right.

3.12 Restrictions on Communications with University Staff

From the issue date of this RFP until a contractor is selected and a contract award is made, offerors are not allowed to communicate about the subject of the RFP with any University administrator, faculty, staff or members of the board of trustees except: the purchasing office representative, any University purchasing official representing the University administration, others authorized in writing by the purchasing office and University representatives during offeror presentations. If violation of this provision occurs, the University reserves the right to reject the offeror’s proposal.

3.13 Cost of Preparing Proposal

Costs for developing the proposals and any subsequent activities prior to contract award are solely the responsibility of the offerors. The University will provide no reimbursement for such costs.

3.14 Disposition of Proposals

All proposals become the property of the University. The successful proposal will be incorporated into the resulting contract by reference.

3.15 Alternate Proposals

Offerors may submit alternate proposals. If more than one proposal is submitted, all must be complete (separate) and comply with the instructions set forth within this document. Each proposal will be evaluated on its own merits.
3.16 **Questions**

All questions should be submitted by either fax or e-mail to the purchasing officer listed in Section 3.2 no later than the date listed in Section 3.1.

3.17 **Section Titles in the RFP**

Section titles used herein are for the purpose of facilitating ease of reference only and shall not be construed to infer the construction of contractual language.

3.18 **No Contingent Fees**

No person or selling agency shall be employed or retained or given anything of monetary value to solicit or secure this contract, except bona fide employees of the offeror or bona fide established commercial or selling agencies maintained by the offeror for the purpose of securing business. For breach or violation of this provision, the University shall have the right to reject the proposal, annul the contract without liability, or, at its discretion, deduct from the contract price or otherwise recover the full amount of such commission, percentage, brokerage or contingent fee or other benefit.

3.19 **Proposal Addenda and Rules for Withdrawal**

Prior to the date specified for receipt of offers, a submitted proposal may be withdrawn by submitting a written request for its withdrawal to the University purchasing office, signed by the offeror. Unless requested by the University, the University will not accept revisions or alterations to proposals after the proposal due date.
4.0 PROPOSAL FORMAT AND CONTENT

4.1 Proposal Information and Criteria

The following list specifies the items to be addressed in the proposal. Offerors should read it carefully and address it completely and in the order listed to facilitate the University’s review of the proposal.

Proposals shall be organized into the sections identified below. The content of each section is detailed in the following pages. It is strongly suggested that offerors use the same numbers for the following content that are used in the RFP.

- Signed Authentication of Proposal and Statement of Non-Collusion and Non-Conflict of Interest Form
- Transmittal Letter
- Executive Summary and Proposal Overview
- Criteria 1 - Offeror Qualifications
- Criteria 2 - Services Defined
- Criteria 3 - Financial Proposal
- Criteria 4 - Evidence of Successful Performance and Implementation Schedule
- Criteria 5 - Other Additional Information

4.2 Signed Authentication of Proposal and Statements of Non-Collusion and Non-Conflict of Interest Form

The Offeror will sign and return the proposal cover sheet and print or type their name, firm, address, telephone number and date. The person signing the offer must initial erasures or other changes. An offer signed by an agent is to be accompanied by evidence of their authority unless such evidence has been previously furnished to the purchasing agency. The signer shall further certify that the proposal is made without collusion with any other person, persons, company or parties submitting a proposal; that it is in all respects fair and in good faith without collusion or fraud; and that the signer is authorized to bind the principal offeror.

4.3 Transmittal Letter

The Transmittal Letter accompanying the RFP shall be in the form of a standard business letter and shall be signed by an individual authorized to legally bind the offeror. It shall include:

A. A statement referencing all addenda and written questions, the answers and any clarifications to this RFP issued by the University and received by the offeror (If no addenda have been received, a statement to that effect should be included.).

B. A statement that the offeror’s proposal shall remain valid for six (6) months after the closing date of the receipt of the proposals.

C. A statement that the offeror will accept financial responsibility for all travel expenses incurred for oral presentations (if required) and candidate interviews.
D. A statement that summarizes any deviations or exceptions to the RFP requirements and includes a detailed justification for the deviation or exception.

E. A statement that identifies the confidential information as described in Section 6.23.

4.4 Executive Summary and Proposal Overview

The Executive Summary and Proposal Overview shall condense and highlight the contents of the technical proposal in such a way as to provide the evaluation committee with a broad understanding of the entire proposal.

4.5 Criteria 1 - Offeror Qualifications

The purpose of the Offeror Qualifications section is to determine the ability of the offeror to respond to this RFP. Offerors shall describe and offer evidence of their ability to meet each of the qualifications listed below.

1) Provide evidence that you own and operate legally compliant and financially healthy RMW and Biohazardous Waste management facilities. In addressing this qualification at a minimum, provide:

   a. Describe a brief historical perspective on your company (years in business, growth via mergers and acquisitions, key industry innovations, etc.).
   b. Describe any unique qualities your company has that differentiate you from your competitors.
   c. Provide certified, audited financial statements including a full set of notes including at a minimum, income statements, balance sheets, and statements of changes in financial position or cash flows for the past three (3) years. If three (3) years of financial statements are not available, this information should be provided to the fullest extent possible. For a privately held company, when certified financial statements are not prepared then a written statement from the company’s certified public accountant will suffice, stating the financial condition, debt-to-asset ratio for the past three (3) years and any pending actions.
   d. Explain if your company is for sale or involved in any transaction to expand or to become acquired by another business entity. If so, explain the expected impact, both in organizational and directional terms.
   e. Provide a description of any contracts terminated for default in the last five (5) years. Submit full details for the default, including the other parties’ name, address, and phone number. Present the Offeror’s position on the matter. The University will evaluate the facts and may, at its sole discretion, reject the proposal on the grounds of past experience. If the Offeror has experienced no such termination for default in the past five (5) years, so indicate.

2) Describe how all your facilities and subcontractors maintain the appropriate federal, state, and local permits and licenses. Should any facility or subcontractor lose its permitted status during the term of the contract, the contractor shall notify the University promptly.
3) Describe, at a minimum, the qualifications of Offerors professional and experienced personnel:

   a. Proposed staff/organization and internal controls to be used during the course of the engagement with the University.
   b. Qualification of personnel to be used for this project including the minimum qualifications for individuals conducting the work.
   c. Level of proven lab packing experience.

4) Describe offeror’s procedures for collection, processing and disposal of waste which shall comply with all applicable federal, state, and local regulations including but not limited to the following standards:

   a. Occupational Safety and Health Administration (OSHA), including but not limited to Blood Borne pathogens Standard 29 CFR 1910 and 1030 and the Needle Stick Safety and Prevention Act HR 5178 as it specifically relates to reusable sharps containers.
   b. State specific permits (offeror shall supply with bid relevant state permits).
   c. Methods to be used to ensure that all containers supplied by the Offeror will be in compliance with DOT requirements, are in good condition including but not limited to appropriate label and marking requirements and are free of contaminants.

5) Describe, at a minimum, the Offerors ability to collect, transport and manage ALL University waste streams as described in section 2.1, Intent and Scope.

   a. Disposal/treatment options that would be available (i.e., autoclave and incineration).
   b. A history of previous federal or state inspections made within the last two (2) years including whether any enforcement actions were taken and, if any, the subsequent corrective actions and outcomes.
   c. The manner in which wastes are evaluated by the receiving facility and the procedures for dealing with discrepancies in waste compositions as noted on the manifest (i.e., rejection notifications and resolutions).
   d. The corporate health and safety planning including but not limited to:

      i. A documented safety record.
      iii. Company medical surveillance program.
      iv. Employee exposure program.
      v. Site health and safety plan.

6) The successful Offeror shall use only legally compliant and experienced subcontracted waste management facilities or transporters. In addressing this qualification include each subcontracted facilities’ name, address, phone number and contact person. The University reserves the right to accept or reject the use of subcontractors in the performance of any resulting contracting.
4.6 Criteria 2 – Services Defined

The Contractor shall provide the services defined in Section 7.1. A discussion of the services that will be provided should be outlined in a “Waste Collection and Management Operational Plan” which includes the methods and procedures (i.e., the technical approach to the project) for the following integral work elements that will serve as the Contractor’s understanding of the University’s needs.

- Preparation, Mobilization, and Emergency Planning
- Waste Collection and Transportation
- Reusable Sharps Container Program
- Final Disposition of Waste

Include in your response an example of invoices, statements, and reports the University would receive monthly.

4.7 Criteria 3 – Financial Proposal

The Financial Summary Form shall contain the complete financial offer made to the University using the format contained in Section 8.0. All financial information must be submitted in a sealed envelope under separate cover.

4.8 Criteria 4 – Evidence of Successful Performance and Implementation Schedule

1) Describe your ability to collect, transport and manage RMW and Biohazardous waste. In addressing this function provide:

   a. Examples of implementation at other businesses, with contact names and telephone numbers/email addresses, for the University to confirm details.
   b. Describe your process to ensure the successful implementation and the on-going success of the management of the University’s waste streams and what resources will be needed from the University.

2) Describe your ability to implement and service a reusable sharps container program. In addressing this function provide:

   a. Examples of implementation at other businesses, with contact names and telephone numbers/email addresses, for the University to confirm details.
   b. Describe your process to ensure the successful implementation and the on-going success of the management of this University waste stream and what resources will be needed from the University.

3) Outline how you will be capable of adhering to a specific implementation schedule for 1 and 2 above as required by the University. In addressing this function estimate each component’s timing (including an estimate of the amount of time typically required to respond to a scheduled and unscheduled pick-up request), and what delays can be expected. Please identify what you see as the greatest threat to the successful completion of the Work as described in this RFP and your firm’s approach to minimizing this threat.
4.9 **Criteria 5 – Other Additional Information**

The Offeror may present any creative approaches that might be appropriate. The offeror may also provide supporting documentation that would be pertinent to this RFP.
A committee of University officials appointed by the Director of Purchasing will evaluate proposals and make a recommendation to the Director of Purchasing. The evaluation will be based upon the information provided in the proposal, additional information requested by the University for clarification, information obtained from references and independent sources and oral presentations (if requested).

The evaluation of responsive proposals shall then be completed by an evaluation team, which will determine the ranking of proposals. Proposals will be evaluated strictly in accordance with the requirements set forth in this solicitation, including any addenda that are issued. The University will award the contract to the responsible offeror whose proposal is determined to be the most advantageous to the University, taking into consideration the evaluation factors set forth in this RFP.

The evaluation of proposals will include consideration of responses to the list of criteria in Section 4.0. Offerors must specifically address all criteria in their response. Any deviations or exceptions to the specifications or requirements must be described and justified in a transmittal letter. Failure to list such exceptions or deviations in the transmittal letter may be considered sufficient reason to reject the proposal.

The relative importance of the criteria is defined below:

**Primary Criteria**

- Offeror Qualifications
- Services Defined
- Financial Proposal
- Evidence of Successful Performance and Implementation

**Secondary Criteria**

- Other Additional Services

The University will evaluate proposals as submitted and may not notify offerors of deficiencies in their responses.

Proposals must contain responses to each of the criteria, listed in Section 4 even if the offeror’s response cannot satisfy those criteria. A proposal may be rejected if it is conditional or incomplete in the judgment of the University.
6.0 SPECIAL CONDITIONS

6.1 Contract Term

The contract resulting from this RFP shall be effective 2017 through 2022, and is renewable for up
to two additional one-year renewal periods. Annual renewal shall be contingent upon the
University’s satisfaction with the services performed.

6.2 Effective Date

The effective date of the contract shall be the date upon which the parties execute it and all
appropriate approvals, including that of the Commonwealth of Kentucky Government Contracts
Review Committee, have been received.

6.3 Competitive Negotiation

It is the intent of the RFP to enter into competitive negotiation as authorized by KRS 45A.085.

The University will review all proposals properly submitted. However, the University reserves the
right to request necessary modifications, reject all proposals, reject any proposal that does not meet
mandatory requirement(s) or cancel this RFP, according to the best interests of the University.

Offeror(s) selected to participate in negotiations may be given an opportunity to submit a Best and
Final Offer to the purchasing agency. All information-received prior to the cut-off time will be
considered part of the offeror's Best and Final Offer.

The University also reserves the right to waive minor technicalities or irregularities in proposals
providing such action is in the best interest of the University. Such waiver shall in no way modify the
RFP requirements or excuse the offeror from full compliance with the RFP specifications and other
contract requirements if the offeror is awarded the contract.

6.4 Appearance Before Committee

Any, all or no offerors may be requested to appear before the evaluation committee to explain their
proposal and/or to respond to questions from the committee concerning the proposal. Offerors are
prohibited from electronically recording these meetings. The committee reserves the right to request
additional information.

6.5 Additions, Deletions or Contract Changes

The University reserves the right to add, delete, or change related items or services to the contract
established from this RFP. No modification or change of any provision in the resulting contract shall
be made unless such modification is mutually agreed to in writing by the contractor and the Director
of Purchasing and incorporated as a written modification to the contract. Memoranda of
understanding and correspondence shall not be interpreted as a modification to the contract.
6.6 **Contractor Cooperation in Related Efforts**

The University reserves the right to undertake or award other contracts for additional or related work to other entities. The contractor shall fully cooperate with such other contractors and University employees and carefully fit its work to such additional work. The contractor shall not commit or permit any act which will interfere with the performance of work by any other contractor or by University employees. This clause shall be included in the contracts of all contractors with whom this contractor will be required to cooperate. The University shall equitably enforce this clause to all contractors to prevent the imposition of unreasonable burdens on any contractor.

6.7 **Entire Agreement**

The RFP shall be incorporated into any resulting contract. The resulting contract, including the RFP and those portions of the offeror’s response accepted by the University, shall be the entire agreement between the parties.

6.8 **Governing Law**

The contractor shall conform to and observe all laws, ordinances, rules and regulations of the United States of America, Commonwealth of Kentucky and all other local governments, public authorities, boards or offices relating to the property or the improvements upon same (or the use thereof) and will not permit the same to be used for any illegal or immoral purposes, business or occupation. The resulting contract shall be governed by Kentucky law and any claim relating to this contract shall only be brought in the Franklin Circuit Court in accordance with KRS 45A.245.

6.9 **Kentucky’s Personal Information Security and Breach Investigation Procedures and Practices Act**

To the extent Company receives Personal Information as defined by and in accordance with Kentucky’s Personal Information Security and Breach Investigation Procedures and Practices Act, KRS 61.931, 61.932 and 61.933 (the “Act”), Company shall secure and protect the Personal Information by, without limitation: (i) complying with all requirements applicable to non-affiliated third parties set forth in the Act; (ii) utilizing security and breach investigation procedures that are appropriate to the nature of the Personal Information disclosed, at least as stringent as University’s and reasonably designed to protect the Personal Information from unauthorized access, use, modification, disclosure, manipulation, or destruction; (iii) notifying University of a security breach relating to Personal Information in the possession of Company or its agents or subcontractors within seventy-two (72) hours of discovery of an actual or suspected breach unless the exception set forth in KRS 61.932(2)(b)2 applies and Company abides by the requirements set forth in that exception; (iv) cooperating with University in complying with the response, mitigation, correction, investigation, and notification requirements of the Act, (v) paying all costs of notification, investigation and mitigation in the event of a security breach of Personal Information suffered by Company; and (vi) at University’s discretion and direction, handling all administrative functions associated with notification, investigation and mitigation.
6.10 Termination for Convenience

The University of Kentucky, Purchasing Division, reserves the right to terminate the resulting contract without cause with a thirty (30) day written notice. Upon receipt by the contractor of a “notice of termination,” the contractor shall discontinue all services with respect to the applicable contract. The cost of any agreed upon services provided by the contractor will be calculated at the agreed upon rate prior to a “notice of termination” and a fixed fee contract will be pro-rated (as appropriate).

6.11 Termination for Non-Performance

Default

The University may terminate the resulting contract for non-performance, as determined by the University, for such causes as:

- Failing to provide satisfactory quality of service, including, failure to maintain adequate personnel, whether arising from labor disputes, or otherwise any substantial change in ownership or proprietorship of the Contractor, which in the opinion of the University is not in its best interest, or failure to comply with the terms of this contract;

- Failing to keep or perform, within the time period set forth herein, or violation of, any of the covenants, conditions, provisions or agreements herein contained;

- Adjudicating as a voluntarily bankrupt, making a transfer in fraud of its creditors, filing a petition under any section from time to time, or under any similar law or statute of the United States or any state thereof, or if an order for relief shall be entered against the Contractor in any proceeding filed by or against contractor thereunder. In the event of any such involuntary bankruptcy proceeding being instituted against the Contractor, the fact of such an involuntary petition being filed shall not be considered an event of default until sixty (60) days after filing of said petition in order that Contractor might during that sixty (60) day period have the opportunity to seek dismissal of the involuntary petition or otherwise cure said potential default; or

- Making a general assignment for the benefit of its creditors, or taking the benefit of any insolvency act, or if a permanent receiver or trustee in bankruptcy shall be appointed for the Contractor.

Demand for Assurances

In the event the University has reason to believe Contractor will be unable to perform under the Contract, it may make a demand for reasonable assurances that Contractor will be able to timely perform all obligations under the Contract. If Contractor is unable to provide such adequate assurances, then such failure shall be an event of default and grounds for termination of the Contract.

Notification

The University will provide ten (10) calendar days written notice of default. Unless arrangements are made to correct the non-performance issues to the University’s satisfaction within ten (10)
calendar days, the University may terminate the contract by giving forty-five (45) days notice, by registered or certified mail, of its intent to cancel this contract.

6.12  **Funding Out**

The University may terminate this contract if funds are not appropriated or are not otherwise available for the purpose of making payments without incurring any obligation for payment after the date of termination, regardless of the terms of the contract. The University shall provide the contractor thirty (30) calendar days’ written notice of termination under this provision.

6.13  **Prime Contractor Responsibility**

Any contracts that may result from the RFP shall specify that the contractor(s) is/are solely responsible for fulfillment of the contract with the University.

6.14  **Assignment and Subcontracting**

The Contractor(s) may not assign or delegate its rights and obligations under any contract in whole or in part without the prior written consent of the University. Any attempted assignment or subcontracting shall be void.

6.15  **Permits, Licenses, Taxes**

The contractor shall procure all necessary permits and licenses and abide by all applicable laws, regulations and ordinances of all federal, state and local governments in which work under this contract is performed.

The contractor must furnish certification of authority to conduct business in the Commonwealth of Kentucky as a condition of contract award. Such registration is obtained from the Secretary of State, who will also provide the certification thereof. However, the contractor need not be registered as a prerequisite for responding to the RFP.

The contractor shall pay any sales, use, personal property and other tax arising out of this contract and the transaction contemplated hereby. Any other taxes levied upon this contract, the transaction or the equipment or services delivered pursuant hereto shall be the responsibility of the contractor.

The contractor will be required to accept liability for payment of all payroll taxes or deductions required by local and federal law including (but not limited to) old age pension, social security or annuities.

6.16  **Attorneys’ Fees**

In the event that either party deems it necessary to take legal action to enforce any provision of the contract and in the event that the University prevails, the contractor agrees to pay all expenses of such action including attorneys’ fees and costs at all stages of litigation.
6.17 **Royalties, Patents, Copyrights and Trademarks**

The Contractor shall pay all applicable royalties and license fees. If a particular process, products or device is specified in the contract documents and it is known to be subject to patent rights or copyrights, the existence of such rights shall be disclosed in the contract documents and the Contractor is responsible for payment of all associated royalties. To the fullest extent permitted by law the Contractor shall indemnify, hold the University harmless, and defend all suits, claims, losses, damages or liability resulting from any infringement of patent, copyright, and trademark rights resulting from the incorporation in the Work or device specified in the Contract Documents.

Unless provided otherwise in the contract, the Contractor shall not use the University’s name nor any of its trademarks or copyrights, although it may state that it has a Contract with the University.

6.18 **Indemnification**

The contractor shall indemnify, hold and save harmless the University, its affiliates and subsidiaries and their officers, agents and employees from losses, claims, suits, actions, expenses, damages, costs (including court costs and attorneys’ fees of the University’s attorneys), all liability of any nature or kind arising out of or relating to the Contractor’s response to this RFP or its performance or failure to perform under the contract awarded from this RFP. This clause shall survive termination for as long as necessary to protect the University.

6.19 **Insurance**

The successful Contractor shall procure and maintain, at its expense, the following minimum insurance coverages insuring all services, work activities and contractual obligations undertaken in this contract. These insurance policies must be with insurers acceptable to the University.

<table>
<thead>
<tr>
<th>COVERAGES</th>
<th>LIMITS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Workers’ Compensation</td>
<td>Statutory Requirements (Kentucky)</td>
</tr>
<tr>
<td>Employer’s Liability</td>
<td>$500,000/$500,000/$500,000</td>
</tr>
<tr>
<td>Commercial General Liability including operations/completed operations, products and contractual liability (including defense and investigation costs), and this contract</td>
<td>$1,000,000 each occurrence (BI &amp; PD combined) $2,000,000 Products and Completed Operations Aggregate</td>
</tr>
<tr>
<td>Business Automobile Liability covering owned, leased, or non-owned autos</td>
<td>$1,000,000 each occurrence (BI &amp; PD combined)</td>
</tr>
<tr>
<td>Pollution Liability</td>
<td>$1,000,000 per and $5,000,000 aggregate</td>
</tr>
</tbody>
</table>

The successful contractor agrees to furnish Certificates of Insurance for the above described coverages and limits to the University of Kentucky, Purchasing Division. The University, its trustees and employees must be added as additional insured on the Commercial General Liability policy with regard to the scope of this solicitation. Any deductibles or self-insured retention in the above-described policies must be paid and are the sole responsibility of the contractor. Coverage is to be primary and non-contributory with other coverage (if any) purchased by the University. All of these required policies must include a Waiver of Subrogation (except Workers’ Compensation) in favor of the University, its trustees and employees.
6.20 **Method of Award**

It is the intent of the University to award a contract to the qualified offeror whose offer, conforming to the conditions and requirements of the RFP, is determined to be the most advantageous to the University, cost and other factors considered.

Notwithstanding the above, this RFP does not commit the University to award a contract from this solicitation. The University reserves the right to reject any or all offers and to waive formalities and minor irregularities in the proposal received.

6.21 **Reciprocal Preference**

In accordance with KRS 45A.494, a resident offeror of the Commonwealth of Kentucky shall be given a preference against a nonresident offeror. In evaluating proposals, the University will apply a reciprocal preference against an offeror submitting a proposal from a state that grants residency preference equal to the preference given by the state of the nonresident offeror. Residency and non-residency shall be defined in accordance with KRS 45A.494(2) and 45A.494(3), respectively. Any offeror claiming Kentucky residency status shall submit with its proposal a notarized affidavit affirming that it meets the criteria as set forth in the above reference statute.

6.22 **Reports and Auditing**

The University, or its duly authorized representatives, shall have access to any books, documents, papers, records or other evidence which are directly pertinent to this contract for the purpose of financial audit or program review.

6.23 **Confidentiality**

The University recognizes an offeror’s possible interest in preserving selected information and data included in the proposal; however, the University must treat such information and data as required by the Kentucky Open Records Act, KRS 61.870, et seq.

Information areas which normally might be considered proprietary, and therefore confidential, shall be limited to individual personnel data, customer references, formulae and company financial audits which, if disclosed, would permit an unfair advantage to competitors. If a proposal contains information in these areas and the offeror declares them to be proprietary in nature and not available for public disclosure, the offeror shall declare in the Transmittal Letter the inclusion of proprietary information and shall noticeably label as confidential or proprietary each sheet containing such information. Proposals containing information declared by the offeror to be proprietary or confidential, either wholly or in part, outside the areas listed above may be deemed non-responsive and may be rejected.

The University’s General Counsel shall review each offeror’s information claimed to be confidential and, in consultation with the offeror (if needed), make a final determination as to whether or not the confidential or proprietary nature of the information or data complies with the Kentucky Open Records Act.
6.24 **Conflict of Interest**

This Request for Proposal and resulting Contract are subject to provisions of the Kentucky Revised Statutes regarding conflict of interest and the University of Kentucky’s Ethical Principles and Code of Conduct ([www.uky.edu/Legal/ethicscode.htm](http://www.uky.edu/Legal/ethicscode.htm)). When submitting and signing a proposal, an offeror is certifying that no actual, apparent or potential conflict of interest exists between the interests of the University and the interests of the offeror. A conflict of interest (whether contractual, financial, organizational or otherwise) exists when any individual, contractor or subcontractor has a direct or indirect interest because of a financial or pecuniary interest, gift or other activities or relationships with other persons (including business, familial or household relationships) and is thus unable to render or is impeded from rendering impartial assistance or advice, has impaired objectivity in performing the proposed work or has an unfair competitive advantage.

Questions concerning this section or interpretation of this section should be directed to the University purchasing officer identified in this RFP.

6.25 **Extending Contract**

The offeror’s response to this RFP must state whether or not the offeror will permit the use of this contract by other Universities, state agencies, public and private institutions in the Commonwealth of Kentucky. An answer to this issue must be submitted within the response.

6.26 **Personal Service Contract Policies**

Pursuant to the Kentucky Model Procurement Code (Code), the Government Contract Review Committee (GCRC) of the Kentucky General Assembly may establish policies that govern personal service contracts. Under the Code, a personal service contract is an agreement whereby an individual, firm, partnership or corporation is to perform certain services requiring professional skill or professional judgment for a specified period of time at an agreed upon price.

**A. Professional Service Rate Schedules:**

The GCRC has established rate schedules for certain professional services and may impact any contract established under the Code. These rate schedules are located on the GCRC website at [www.lrc.ky.gov/statcomm/Contracts/homepage.htm](http://www.lrc.ky.gov/statcomm/Contracts/homepage.htm).

**B. Invoicing of Personal Service Contracts:**

The Kentucky Model Procurement Code was recently amended to establish conditions for invoicing for fees for personal service contracts. It states, “No payment shall be made on any personal service contract unless the individual, firm, partnership, or corporation awarded the personal service contract submits its invoice on a form established by the committee.” The Government Contract Review Committee has adopted a personal service contract invoice form that must be submitted as a condition of payment. A copy of the form is located on the GCRC website at [www.lrc.ky.gov/statcomm/contracts/PSC%20INVOICE%20form.pdf](http://www.lrc.ky.gov/statcomm/contracts/PSC%20INVOICE%20form.pdf).
6.27 Copyright Ownership and Title to Designs and Copy

The contractor and University intend this RFP to result in a contract for services, and both consider the products and results of the services to be rendered by the contractor hereunder to be a work made for hire. The contractor acknowledges and agrees that the work and all rights therein, including (without limitation) copyright, belongs to and shall be the sole and exclusive property of the University. For any work that is not considered a work made for hire under applicable law, title and copyright ownership shall be assigned to the University.

Title to all dies, type, cuts, artwork, negatives, positives, color separations, progressive proofs, plates, copy and any other requirement not stated herein required for completion of the finished product for use in connection with any University job shall be the property of and owned by the University. Such items shall be returned to the appropriate department upon completion and/or delivery of work unless otherwise authorized by the University. In the event that time of return is not specified, the contractor shall return all such items to the appropriate University department within one week of delivery.

6.28 University Graphic Standards

The contractor must adhere to all University of Kentucky Graphics Standards. University Graphics Standards are maintained by the University Public Relations Office (UKPR) and can be viewed at www.uky.edu/graphics/. Non-adherence to the standards can have a penalty up to and including contract cancellation. Only the UKPR Director or designee can approve exceptions to the University standards.

6.29 Printing Statutes

The purchase of printing services for all state agencies is governed by Chapter 57 of the Kentucky Revised Statutes. Specifically, all printing must be awarded to the lowest responsive bidder and approved by the Governor of Kentucky. In compliance with these statutes, all printing must be provided by a contract established by the Purchasing Division.
7.0 **SCOPE OF SERVICES**

7.1 **Detailed Services Defined**

1. The contractor shall participate in quarterly reviews with the University regarding performance, demand management, service support, ordering, and other items.

2. The Contractor shall be expected to work closely with the University’s designated representative(s) to administer an effective and efficient program resulting in high overall customer satisfaction.

3. Preparation, Mobilization, and Emergency Planning including but not limited to:
   a. Work with designated University personnel to become familiar with details of applicable on site operations.
   b. Develop operational procedures in accordance with the University's standards and permits.
   c. Become familiar with waste generator locations and operations. Current locations are as defined in section 2.2 but may change as business warrants in the future.
   d. Provide assurances that there is a business continuity plan in place so that the University’s service will not be appreciably disrupted due to such things as significant weather occurrences or any other natural or man-induced occurrences that may affect routine business operations.

4. Waste Collection and Transportation - The Contractor shall provide the following services for RMW and Biohazardous wastes generated by the University at the locations defined in section 2.2:
   a. Collection from the referenced facilities and from other on-campus and off-campus locations as needed. Collection will be during normal business hours unless an emergency arises.
   b. Establish a pick-up schedule that is acceptable to the University location based on the volume and location needs.
   c. Labeling and manifesting, in accordance with EPA, OSHA, DOT, and the final destination facility’s standards.
   d. Transportation in accordance with DOT, OSHA, and EPA regulations. This includes loading of the prepared containers onto the transport vehicle.
   e. Proper disposal, treatment or recycling at approved local, state and federal permitted facilities.
   f. Personal protective equipment for staff, including gloves, chemical protective clothing goggles/glasses, and respiratory protective equipment.
   g. All contractor personnel shall wear acceptable attire such as uniforms.
   h. The Contractor shall furnish all appropriate containers to ensure each location has the necessary type and number available for their business operations. The Contractor supplied containers shall be in compliance with all rules, regulations, laws, and/or ordinances including DOT regulations. Additionally, the furnished containers shall be leak proof and of the industry standard red color. All packing and shipping containers are to include minimum 1.2 mil. polyethylene liners. The
containers shall be clean and free from any contamination, staining, defects or free liquids.

i. The Contractor shall maintain all Contractor and government provided containers ensuring they are free of unpleasant odors, dirt, debris and pests. All containers shall remain in good, workable condition. Trucks and trailers used for hauling and collecting shall be equipped as required to ensure they are able to perform the services required. Each vehicle will have sufficient spill containment materials to respond to emergencies resulting from loss of containment, chemical reaction or other hazardous conditions.

5. Reusable Sharps Container Program – Furnish all permits, services, materials, labor, supervision, management, management support, transportation supplies and equipment required to provide a reusable sharps container program at the three specific locations noted in Section 2.2 including the University’s Albert B. Chandler Hospital, the Good Samaritan Hospital and the Kentucky Clinic. The proposed sharps containers shall be reusable as opposed to one-time use disposable containers. The Contractor shall provide (including the installation thereof including mounting brackets, stationary stands, etc.) both the necessary number and size of reusable containers as well as the staff necessary to collect and replace filled containers. All sharps container brackets that are wall mounted shall be mounted in accordance with OSHA and NIOSH, and meet industry standard ergonomics. The Contractor is responsible for ordering, delivering, handling, changing-out/servicing, transporting and disposing of sharps waste on a regular basis. The approximate number of sharps container locations, the number of containers exchanged per month at each of the three locations and the average weights generated on a monthly basis during 2016 as well as the estimated frequency of collection anticipated includes:

- The University’s Albert B. Chandler Hospital - 1,525 container locations
  3,000 containers exchanged/month
  15,000 lbs/month
  Service: Five times/week

- The University’s Good Samaritan Hospital - 370 container locations
  400 containers/month
  1,500 lbs/month
  Service: Two times/week

- The Kentucky Clinic - 400 container locations
  175 containers/month
  325 lbs/month
  Service: Two times/week

The following questions shall be answered in detail in describing the proposed program:

a. Describe how all reusable sharps containers meet container performance requirements outlined in OSHA’s Bloodborne Pathogen Standard 1910.1030.

b. Describe how all reusable sharps containers meet the Food and Drug Administration (FDA) Standard (21 CFR 860.3) for medical device classification.

c. Describe how all reusable sharps containers are leak proof from all sides as required by OSHA and DOT.
d. Provide a 510K document demonstrating approval by the FDA for your reusable sharps containers and the number of uses.

e. Describe how the reusable sharps containers have a mechanism to address overfill protection (preferably an auto-lock when container is full).

f. Describe how the reusable sharps containers have a visible contents level and a fill line.

g. Describe how the reusable sharps containers have a puncture resistant force of no less than 2.8 pounds per foot.

h. Describe how the reusable sharp containers have a closure system providing a safe mechanism without risk of rebound of sharps.

i. Describe how the reusable sharps containers are tamper proof.

j. Can you provide all of the following full range of reusable sharps container sizes (such as a 2 gallon, 3 or 4, 8 and 16 gallon) and if not explain.

k. Describe the clinical evidence on the kill rates demonstrating proper sanitizing.

l. Describe how reusable carts are used to transport containers to avoid excessive packaging.

m. Describe and provide an example of how reusable sharps containers shall meet the DOT performance packaging requirements as specified in 49CFR, Part 178.

n. Explain how you would limit overpacked in a performance package for reusable sharps containers.

The Contractor shall maintain all Contractor-provided containers ensuring they are free of unpleasant odors, dirt, debris and pests. All containers shall remain in good, workable condition. Trucks and trailers used for hauling and collecting shall be equipped as required to ensure they are able to perform the services required. Each vehicle will have sufficient spill containment materials to respond to emergencies resulting from loss of containment, chemical reaction or other hazardous conditions.

6. Final Disposition of Waste

   a. The Contractor shall assume liability and responsibility for waste management when materials are removed from the University accumulation location. It is the Contractor’s responsibility to comply with DOT requirements throughout the collection process when the material is regarded by DOT to be “in commerce”.

   b. The final disposition of waste shall be at an appropriately permitted facility. The University reserves the right to approve or specify final disposition options and shall be notified should any approved facility no longer be utilized or change for any reason.

   c. The Contractor shall complete all manifests and shipping papers, including any notifications or other documentation required by federal, state, or local authorities or disposal facilities. The Contractor shall provide within ten (10) days of shipment copies of all manifests of other shipping documentation to the University’s RMW Coordinator as described in Section 2.2.

   d. Manifests shall designate the specific University area from which the waste was picked up.

   e. Describe and provide documentation of the on-line access to waste generation available.- *University availability to track waste types and amounts generated by location.

7. The Contractor shall keep such full and detailed records as may be necessary to reflect proper financial management pursuant to Section 8.0 and the work performed including,
when applicable, all testing, sampling, and investigatory services performed by Contractor. All such records will be subject to review by the University on condition that the University identifies, in writing, those documents requested. All documents referred to herein will be available for inspection for a period of two (2) years after the work has been completed or longer where required by law.

8. The Contractor is to provide a full “chain of command” complete with contact people, addresses, and telephone numbers. Emergency contacts will have pager numbers, cell phone numbers, and other appropriate telephone numbers. All changes to contact personnel will be communicated in writing at least 48 hours prior to the change taking effect. Coverages for vacations and holidays will be communicated in writing prior to the departure of the individual.

9. Billing
   a. Invoices must be submitted to the RMW Coordinator for payment authorization.

10. Miscellaneous
    a. The Contractor shall have a Response Plan for transportation emergencies.
    b. The Contractor shall develop new waste profiles as necessary, and include costs, disposal, and other pertinent information as necessary.
### 8.0 FINANCIAL OFFER SUMMARY

Offerors are to provide a fixed price for the services offered.

### 8.1 Mandatory Services (Section 7.1)

Offerors are to provide a fixed price for the services offered. Final prices may be increased by the vendor during the term of the contract no more than one increase per year if based on documented proof of the vendor’s cost increases that are necessitated by changes in disposal, treatment or recycling site’s requirements or promulgated regulations not in force at the beginning date of this contract.

The Contractor may NOT pass on any cost increases from disposal, treatment or recycling site operators or other subcontractors if those increases do not meet the criteria specified in the previous sentence. Costs may also be increased by the vendor to reflect reasonable and justified increases in the vendor’s cost of transportation, allowed as direct increases, which include only those costs attributable to causes outside the vendor’s control.

Price increases imposed by the vendor in accordance with the provisions of this section shall NOT include increments attributable to the vendor’s administrative costs, unless those costs are demonstrably a direct consequence of causes outside the vendor’s control, could not have been reasonably foreseen by the Contractor at the time of contract negotiation, and are set forth separately, identified, and clearly justified. “Cost plus” formulations shall NOT be allowed. Pricing shall be provided as follows:

<table>
<thead>
<tr>
<th>DESCRIPTION</th>
<th>UNIT</th>
<th>UNIT COST</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regulated Medical Waste and Biohazardous Waste (not meeting definition of pathological or sharps) pickup and disposal:</td>
<td>pound</td>
<td></td>
</tr>
<tr>
<td>Pathological Waste pickup and disposal</td>
<td>pound</td>
<td></td>
</tr>
<tr>
<td>Sharps pickup and disposal*</td>
<td>pound</td>
<td></td>
</tr>
<tr>
<td>Stop charge (if applicable)</td>
<td>per stop</td>
<td></td>
</tr>
</tbody>
</table>

*Not including sharps managed as part of the Reusable Sharps Container Program
Reusable Sharps Container Program

Provide the cost per month to service the three locations based on the baseline information noted in Section 7.1:

<table>
<thead>
<tr>
<th>LOCATION</th>
<th>Pick-ups/Week</th>
<th>Containers/Month</th>
<th>TOTAL MONTHLY SERVICE FEE</th>
</tr>
</thead>
<tbody>
<tr>
<td>The University’s Albert B.</td>
<td>5</td>
<td>3,000</td>
<td></td>
</tr>
<tr>
<td>Chandler Hospital</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The University’s Good Samaritan</td>
<td>2</td>
<td>400</td>
<td></td>
</tr>
<tr>
<td>Hospital</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Kentucky Clinic</td>
<td>2</td>
<td>175</td>
<td></td>
</tr>
</tbody>
</table>

Provide adjustment cost rates to the above service fees for adding to or removing locations:

<table>
<thead>
<tr>
<th>CONTAINER SIZE</th>
<th>ADJUSTMENT RATE/CONTAINER</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 Gal.</td>
<td></td>
</tr>
<tr>
<td>3 Gal.</td>
<td></td>
</tr>
<tr>
<td>4 Gal</td>
<td></td>
</tr>
<tr>
<td>8 Gal.</td>
<td></td>
</tr>
<tr>
<td>17 Gal.</td>
<td></td>
</tr>
<tr>
<td>Other Size:</td>
<td></td>
</tr>
<tr>
<td>Other Size:</td>
<td></td>
</tr>
</tbody>
</table>

8.2 Alternate Pricing

In addition to the above financial offer, the offeror may submit alternative financial proposals, however the information requested above must be supplied and will be used for proposal evaluation purposes.