



UNIVERSITY
OF KENTUCKY

Purchasing Division

Request for Proposal

UK-0936-10

Proposal Due Date- 11/24/09

Industrial Uniforms



UNIVERSITY OF KENTUCKY

Purchasing Division

REQUEST FOR PROPOSAL (RFP)

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

| | | |
|---|----------------------------|---|
| PROPOSAL NO.: | UK-0936-10 | RETURN ORIGINAL COPY OF PROPOSAL TO: |
| Issue Date: | 10/29/09 | UNIVERSITY OF KENTUCKY |
| Title: | Industrial Uniforms | PURCHASING DIVISION |
| Purchasing Officer: | Rebecca Purcell | 411 S LIMESTONE |
| Phone: | 859-257-5479 | ROOM 322 PETERSON SERVICE BLDG. |
| | | LEXINGTON, KY 40506-0005 |
| IMPORTANT: PROPOSALS MUST BE RECEIVED BY: 11/24/09 | | 3:00 P.M. Lexington, KY time. |

NOTICE OF REQUIREMENTS

- The University's General Terms and Conditions and Instructions to Bidders, viewable at www.uky.ePurchasingdu//terms.htm, apply to this Request for Proposal. When the Request for Proposal includes construction services, the University's General Conditions for Construction and Instructions to Bidders, viewable at www.uky.edu/Purchasing/ccphome.htm, apply to the Request for Proposal.
- Contracts resulting from this RFP must be governed by and in accordance with the laws of the Commonwealth of Kentucky.
- 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.
- 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, may 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:

- 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);
- 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 Request for Proposal, designed to limit independent bidding or competition;
- 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;
- 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 those prohibited by the provisions of KRS 45A.330 to .340, 164.390, and
- 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.
- That I have fully informed myself regarding the accuracy of the statement 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: | PHONE: |
| PROPOSAL FIRM THROUGH: | ADDRESS: | FAX: |
| PAYMENT TERMS: | CITY, STATE & ZIP CODE: | E-MAIL: |
| SHIPPING TERMS: F.O.B. DESTINATION - PREPAID AND ALLOWED | TYPED OR PRINTED NAME: | WEB ADDRESS: |
| FEDERAL EMPLOYER ID NO.: | SIGNATURE: | DATE: |

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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 Request for Proposal documents by addition, deletions, clarification, or corrections.

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

The terms "offer" or "proposal" means the Offeror(s) response to this Request for Proposal.

The term "Offeror" means the entity or Contractor group submitting proposal.

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

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

The term "Purchasing Official" means the University of Kentucky's appointed contracting representative.

The term "Responsible Offeror" means a person, company, or corporation who has the capability in all respects to perform fully the contract requirements and the integrity and reliability that will assure good faith performance.

The term "solicitation" means Request for Proposal (RFP).

The term "University" means University of Kentucky.

2.0 GENERAL OVERVIEW

2.1 Intent and Scope

This Request for Proposal (RFP) is issued to solicit proposals from qualified, experienced, financially sound, and responsible firms to establish a Price Contract for Industrial Uniforms for the University of Kentucky Facilities Management, Lexington, Kentucky. The departments served by this contract are Campus Physical Plant Division, approximately 450 uniformed employees, and Medical Center Physical Plant Division, approximately 140 uniformed employees. The mix of employees includes males and females of varying statures and body builds.

The University makes one large purchase per department per year with other purchases made throughout the year as needed for new hires and/or special circumstances.

Offerors' chosen to give presentations must bring sample items with them.

The scope of services is further defined in Section 7.0.

2.3 University Information

Founded in 1865, the University of Kentucky (UK) is a public, research-extensive, land grant university dedicated to enriching people's lives through excellence in teaching, research, and service. UK's campus covers more than 716 acres and total enrollment is more than 27,000 students representing all Kentucky counties, every state in the nation, and 117 countries. There are more than 13,500 employees.

The University of Kentucky has long embraced its mission to provide excellent education to outstanding resident and non-resident students, recognizing that a knowledgeable populace is the best foundation for a prosperous Commonwealth. This mission has been further enhanced since 1997 when the Kentucky General Assembly mandated that UK become a Top 20 public research university by 2020. President Lee T. Todd Jr. focused the University on achieving this goal through the development of a Top 20 Business Plan in 2005 that gained national prominence for its vision and detail.

UK consists of some 200 major and degree programs in 17 academic and professional colleges. The colleges include: Agriculture, Arts and Sciences, Business and Economics, Communications and Information Studies, Dentistry, Design, Education, Engineering, Fine Arts, Health Sciences, Law, Libraries, Medicine, Nursing, Pharmacy, Public Health, and Social Work. UK boasts over 80 national rankings for academic excellence.

UK operates a nationally recognized research library system, with the capstone being the world-class William T. Young Library. UK's book endowment is the largest among public universities. Its library network and technology provide extraordinary service to students in the colleges of Medicine, Law, Engineering, Fine Arts and other programs. Meanwhile, students, faculty and Kentucky residents can use UK Libraries' advanced technology to access the most up-to-date information from online journals, government publications and private studies.

The UK Chandler Medical Center, which opened in 1960, is considered one of the nation's finest academic medical centers. As one of two Level 1 Trauma Centers in Kentucky, UK Hospital cares for the most critically injured and ill patients in the region. The 473-bed UK Hospital and UK

Children's Hospital are supported by more than 500 faculty physicians and dentists, 400 resident physicians, and a staff of 3,200 health professionals committed to high-quality patient care.

In spring 2007, ground was broken for a new \$450 million UK Chandler Hospital. This more than 1-million square foot facility, to be completed in 2011, is the cornerstone of a 20-year, \$2.5 billion plan to construct the Commonwealth Medical Campus of the Future. Among the campus' components are a now-under-construction \$120 million pharmacy building, additional research buildings, a new shared Health Sciences Learning Center, and additional buildings to house programs for the colleges of Medicine, Nursing, Health Sciences, Dentistry and Public Health.

Research at UK is a dynamic enterprise encompassing both traditional scholarship and emerging technologies. For the last five years, the University has consistently exceeded \$200 million in sponsored projects awards. UK faculty recently attracted a record-breaking total of \$290 million in extramural funding for grants and contracts. A recent ranking placed UK at 26th among all public universities for federal expenditures. Meanwhile, the inventiveness of UK faculty continues to earn the University its standing as 17th among land-grant universities, 34th among public universities, and 57th overall in licensing income and patents. Another national ranking recently put UK 19th among public institutions for the scholarly productivity of its faculty.

UK's agenda is to accelerate the movement toward academic excellence and to become known worldwide for the quality of its academic programs, its commitment to undergraduates, its success in building a diverse community, and its engagement with the larger society.

Visit the University of Kentucky Web site at <http://www.uky.edu>.

3.0 **PROPOSAL REQUIREMENTS**

3.1 **Key Event Dates**

| | |
|---|------------------|
| Release of RFP | 10/29/09 |
| Deadline for Written Questions @ 3:00 p.m. on | 11/10/09 |
| RFP Proposals Due Date | 11/24/09 |
| Offeror Presentations * | week of 12/14/09 |
| Contract Award* | 12/21/09 |

* The Potential Offeror Presentations and Contract Award are projected dates.

3.2 **Offeror Communication**

To insure that RFP documentation and subsequent information (modifications, clarifications, addendum, written questions & answers, etc.) is 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:

Rebecca Purcell
Purchasing Division
University of Kentucky
322 Peterson Service Building
Lexington, KY 40506-0005
Phone: (859) 257-5479
Fax: (859) 257-1951

E-mail: rpurcell@email.uky.edu

All communication with the University regarding this RFP shall only be directed to the University Purchasing Officer listed above.

3.3 **Offeror Presentations**

All Offerors whose proposals are judged acceptable for award may be required to make an Offeror presentation to the evaluation committee.

3.4 Preparation of Offers

Offeror is expected to follow all specifications, terms, conditions, and instructions in this Request for Proposal.

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 is available through the University of Kentucky Division of Purchasing Web site: <http://www.uky.edu/purchasing/>

Click on: **Bid & Proposal Opportunities**

3.5 Proposed Deviations from the Request for Proposal

The stated requirements appearing elsewhere in this RFP shall become a part of the terms and conditions of any resulting contract. Any deviations therefrom must 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 must 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 RFP Terms and Conditions. Each exception to a University term and condition shall be individually addressed.

3.6 Proposal Submission and Deadline

Offeror must provide one (1) electronic copy on compact disk and ten (10) printed copies of each technical proposal under a sealed cover and one (1) electronic copy on compact disk and ten (10) printed copies financial proposals under separate sealed cover, prior to 3:00 P.M. Lexington, KY time on date as specified in Section 3.1 Key Event Dates and addressed to the Purchasing Officer as listed in Section 3.2 Offeror Communication.

Note: Proposals received after the closing date and time will not be considered. In addition, proposals received via fax or email are not acceptable.

The University of Kentucky accepts deliveries of RFP's Monday through Friday from 8:00 am – 5:00 pm Lexington Kentucky time. However, RFP's must be received by 3:00 pm Lexington Kentucky 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 the closing time and date specified, the solicitation number, and the name and address of the Offeror on the face of the envelope. **The technical proposal shall be submitted in a sealed envelope under separate cover 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 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.

3.8 Disclosure of Offeror’s Response

The Request for Proposal 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 a valid proposal for 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.

3.9 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, or 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.

3.10 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 of Kentucky will provide no reimbursement for such costs.

3.11 Disposition of Proposals

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

3.12 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.

3.13 Questions

All questions should be submitted by either fax or e-mail to the Purchasing Officer listed in Section 3.2 no later than dated listed in Section 3.1.

3.14 Section Titles in the RFP

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

3.15 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.

3.16 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 as 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 her/his 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 his/her 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 Confidentiality.

Note: Offerors shall not submit your standard terms and conditions as exceptions to the RFP Terms and Conditions. Each exception to a University term and condition shall be individually addressed.

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 Request for Proposal. Offerors must describe and offer evidence of their ability to meet each of the qualifications listed below.

1. Provide your company's official registered name (Corporate, D.B.A., Partnership, etc.), Dun & Bradstreet Number, Primary and secondary SIC numbers, address, main telephone number, toll-free numbers, and facsimile numbers.
2. Provide a brief narrative describing the history of your company, including the year established. Identify the number of employees in your company and the ownership. Has the company ever filed for bankruptcy, been in loan default, or are there any pending liens, claims or lawsuits against the company. If so, please describe.
3. Provide biographies and relevant experience of key staff and management personnel. Describe bonding process and coverage levels of employees. Affirm that no employees working on the engagement have ever been convicted of a felony.
4. Provide certified audited financial statements including a full set of footnotes as follows:
 - a. For the past three (3) fiscal years, include at a minimum, income statements, balance sheets, and statements of changes in financial position or cash flows. If three (3) years of financial statements are not available, this information shall be provided to the fullest extent possible or the reasons why, if they are not available.
 - b. For a privately held company, when certified audited financial statements are not prepared; a written statement from the company's certified public accountant stating the financial condition, debt-to-asset ratio for the past three (3) years and any pending actions.
5. If the Offeror has had a contract terminated for default in the last five years, describe such incident. 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 the past experience. If the Offeror has experienced no such termination for the default in the past five years, so indicate.

6. The University of Kentucky has implemented a procurement card program in an effort to streamline the purchasing and payment process. While the first and large transaction under this contract will be made by requisition/purchase order, follow-up purchases will be made using the University’s Procurement Card. Describe your ability to accept payment using a Master Card or Visa. Provide the level of reporting capability that your company has when the University uses the procurement card.

4.6 Criteria 2 – Services Defined

1. Fully describe your ability to meet all uniform options and requirements listed in section 7.1.A.
2. Describe your ability to fulfill the measuring requirements in section 7.1.B.
3. Describe your ability to fulfill the shipping instructions in section 7.1.C.
4. Describe your ability to fulfill the embroidery/patch responsibility as outlined in section 7.1.D.
5. Describe your ability to fulfill the invoicing/payment requirements in section 7.1.E. Provide a sample of an invoice.
6. Describe your ability to fulfill the vendor representation requirements in section 7.1.F.
7. Is your company licensed with the Collegiate Licensing Company (CLC) (Restricted License) to sell promotional commodities to University of Kentucky departments as outlined in section 7.1.G?

YES NO

If you answered “No” to the above question, if considered for award, is your company willing to apply for a “Restricted” license with Collegiate Licensing Company to sell ad-specialty/promotional items to University of Kentucky departments? Bidders are advised, among other requirements, Collegiate Licensing Company requires an application process, application fee, and product liability insurance. Information about the licensing process can be found at the CLC website: www.clc.com.

YES NO

8. Define “standard” size and “irregular/oversized” size.

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

Provide three (3) current references for which you have provided similar services. The Offeror must grant permission to the University to contact the references.

4.9 Criteria 5-Other Additional Information

Please provide any additional information that the Offeror feels should be considered when evaluating their proposal.

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.

5.0 **EVALUATION CRITERIA PROCESS**

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 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 effect for one year from the effective date, and is renewable for up to four additional one-year renewal periods. The total contract period will not exceed five years. 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 the Commonwealth of Kentucky Government Contracts Review Committee, have been received.

6.3 Competitive Negotiation

It is the intent of the Request for Proposal (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. Offeror(s) are prohibited from electronically recording these meetings. The committee reserves the right to request additional information.

6.5 Acceptance or Rejection and Award of Proposal

The University reserves the right to accept or reject any or all proposals, or part of proposals, to waive any informalities, technicalities, clarify any ambiguities in proposals, and unless otherwise specified to accept any item in the proposal. In case of error in extension of prices or other errors in

calculation, the unit price shall govern. Further, the University reserves the right to make a single award, split awards, make multiple awards or no award, whichever is in the best interest of the University.

6.6 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 Request for Proposal. 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.

6.7 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.

6.8 Entire Agreement

The Request for Proposal (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.

6.9 Governing Law

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.

6.10 Termination for Convenience

The University of Kentucky, Division of Purchasing, reserves the right to terminate the resulting contract without cause with a thirty (30) day written notice. Upon receipt by the Contractor of "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 "notice of termination" and a fixed fee contract will be pro-rated (as appropriate).

6.11 **Termination for Non-Performance**

Default

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

- Failure 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
- Failure to keep or perform, within the time period set forth herein, or violation of, any of the covenants, conditions, provisions or agreements herein contained.
- Adjudication 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) days period have the opportunity to seek dismissal of the involuntary petition or otherwise cure said potential default.
- 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.

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 Director of Purchasing 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 **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.

6.13 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 Request for Proposal.
- 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 Request for Proposal, as part of the proposal. This includes the Authentication of Proposal and Statement of Non-collusion and Non-conflict of Interest statements.
- Receipt of proposal received after the closing date and time specified in the RFP.

6.14 Prime Contractor Responsibility

Any contracts that may result from the RFP shall specify that the Contractor or Contractors is (are) solely responsible for fulfillment of the contract with the University.

6.15 Assignment

The Contractor(s) shall not assign the contract in whole or in part without the prior written consent of the University. Any attempted assignment shall be void.

6.16 Permits, Licenses, Taxes and Commonwealth Registration

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 taxes 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.

6.17 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 the University prevails, the Contractor agrees to pay all expenses of such action, including attorneys' fees and costs at all stages of litigation.

6.18 Patents, Copyrights and Trademarks

The Contractor shall protect the University from any and all damages or liability arising from alleged infringements of patents, copyrights or trademarks.

6.19 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 attorney fees of attorneys of the University's choice and court costs) expenses, all liability of any nature or kind arising out of or relating to the Contractor's response to this Request for Proposal 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.

6.20 Insurance

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

| <u>COVERAGES</u> | <u>LIMITS</u> |
|---|---|
| Workers' Compensation | Statutory Requirements (Kentucky) |
| Employer's Liability | \$500,000/\$500,000/\$500,000 |
| Commercial General Liability, including operations/ completed operations, products, and contractual liability (including defense and investigation costs) including this contract. | \$1,000,000 each occurrence (BI & PD combined) \$2,000,000 Products and Completed Operations Aggregate |
| Business Automobile Liability, covering owned, leased, or non-owned autos | \$1,000,000 each occurrence (BI & PD combined) |

The successful Contractor agrees to furnish Certificates of Insurance for the above described coverage's and limits to the University of Kentucky Division of Purchasing. The University, its trustees and employees must be added as Additional Insured on the Commercial General Liability policy with regards to the scope of this RFP/contract. 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.

6.21 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 contract for any requirements detailed in this document. The University reserves the right to reject any or all offers and to waive formalities and minor irregularities in the proposal received.

6.22 Reports and Auditing

The Contractor (s) shall provide a quarterly summary to the Purchasing Division and Facilities Management.

The University reserves the right to audit the Contractor(s) records at any time.

6.23 Confidentiality

- a) Unless an exception in accordance with (C) below, and until the Effective Date of an agreement pursuant to this Request for Proposal, this RFP, any responses to the RFP, and other related documents, including but not limited to attachments, appendices, and exhibits, shall be marked and treated as CONFIDENTIAL, as provided for preliminary correspondence under KRS 61.878(1)(i).
- b) On and after the Effective Date of the agreement pursuant to this RFP, all documents associated with this RFP, unless an exception in accordance with (C) below, are NOT treated as CONFIDENTIAL documents and will be released upon receipt of a valid request under Kentucky Open Records law.
- c) Any material or information, in whole or in part, that is submitted whether before or after the Effective Date and that the party believes is confidential or proprietary shall be submitted separately in a document/format clearly marked CONFIDENTIAL. If a party submitting a response to a proposal believes that any document, before or after the Effective Date of the agreement, in whole or in part, pursuant to the RFP is confidential or contains confidential or proprietary information, the party shall identify the specific information and shall submit a listing of the information and the rationale for its being confidential or proprietary. University Office of General Counsel shall review the submitted material/information, consulting with officials of the submitting company, if needed, and make a final determination as to the confidential or proprietary nature of the submitted material.

6.24 Conflict of Interest

This Request for Proposal and any resulting contract is subject to provisions of the Kentucky Revised Statutes regarding conflict of interest and the University of Kentucky's Ethical Principles and Code of Conduct (<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 Request for Proposal.

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 Copyright Ownership and Title to Designs and Copy

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 Contractor hereunder to be a work made for hire. 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, Contractor shall return all such items to the appropriate University department within one week of delivery.

6.27 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 and can be viewed at <http://www.uky.edu/regs/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.

6.28 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.

6.29 Damaged or Inferior Material

When services are not delivered on the agreed date between the contractor and the University, or if inferior or incomplete work is found, the Purchasing Division in concurrence with the using department reserves the right to reject such materials and request replacement as stated above or authorize the contractor to issue a credit based on the University's cost for all material found unacceptable.

6.30 HIPPA/BAA Amendment

Offeror will be required to comply with Health Insurance Portability and Accountability Act of 1996 (HIPAA). University of Kentucky master HIPAA/BAA amendment is attached as Appendix A and will become an integral part of any agreement.

7.0 **Scope of Services**

Facilities Management will be purchasing the equivalent of five (5) sets of uniforms and one (1) set of accessories for approximately 590 employees. Optional items are by individual choice. There will be several color combinations of pants and shirts to separate different groups of task oriented employees. Color combinations will be selected after the contract award.

A uniform is composed of the following components:

1. One (1) shirt, blouse or polo shirt
2. One (1) pair of pants, shorts or skirt

Accessories to the uniform are:

1. One (1) belt or suspenders
2. One (1) jacket with liner
3. One (1) pair of shoes/boots

Optional items are:

1. Lab coats
2. Smocks
3. Caps
4. Toboggan cap
5. Coveralls

The frequency of replacement of uniform items and/or shoes will be at the individual employees request, his/her need or requirement, but generally on an annual basis.

7.1 **Detailed Services Defined**

A. **UNIFORM SPECIFICATIONS**

- i. A billed cap will be optional for employees. The cap shall be a baseball type with raised front panel for a sown on or embroidered on logo. The patch/logo will be determined at a later date and will be no more than four (4) colors.
- ii. Pants selection must include both male and female styles with options for slim fit, relaxed fit, cargo, carpenter or plain type; will require flat fronts, and have the option of cotton or cotton blend.
- iii. Shorts selection must include both male and female styles with options for slim fit, relaxed fit, cargo, carpenter or plain type; will require flat fronts, and have the option of cotton or cotton blend. Inseams shall be available in minimum 8", 10" and 13" lengths. All shorts to be measured to just above the knee.
- iv. Skirts shall be available in ankle and regular (below the knee) length and shall be available in cotton and cotton blend.
- v. Shirts and blouses shall have one open pocket on left side and shall be available in cotton and cotton blend.

- vi. Shirts and blouses shall have a logo embroidered on the left side above the pocket. The logo will be determined at a later date and will be no more than four (4) colors.
- vii. Belts are to be 1 ½" black leather with brass buckles.
- viii. Footwear shall be black and shall be boots (slip-on or lace-up), regular shoes or tennis shoe types. Leather soles are prohibited.
- ix. Suspenders shall be black and be available in button-on or clip-on types.
- x. Jackets shall be black or navy, hip length, and have a zip-out liner. The specific color is to be chosen after contract award.

B. MEASUREMENT/SIZING SERVICES

The contractor will be responsible to provide on-site measurement/sizing of all UK PPD employees for the one bulk order per year. A minimum of three (3) days and one (1) night will be scheduled with the approval of a University representative. However, if required, it will be the responsibility of the contractor to provide additional hours/days to complete measurements on all employees. Hours are tentatively set for 7:30am to 3:00pm for day shift personnel and 9:00pm to 12:00am for second and third shift personnel. There will be at least two different measuring sites, one at the Peterson Service Building on campus and the other at the Kelley Service Building at the medical center.

It will be at this time in which the contractor will write up and take the individual's orders for the uniforms that are to be supplied. It will be the responsibility of the contractor to accurately measure and record the order for each employee. Prior to shipment of new uniforms and or individual items, any kind of preliminary alteration, hemming, etc. will be the responsibility of the contractor. Any garments received which are in error will not be accepted and it will be the responsibility of the contractor to make any correction necessary before payment will be authorized. If orders are received where actual measurements were not taken by the contractor, the contractor will be responsible if the uniforms and/or items do not fit. The contractor should make efforts to obtain measurements of all UK PPD employees.

Prior to processing, all orders must be approved by the appropriate UK PPD business officer (this is NOT the individual being measured) and a copy of the order let with the business officer.

For the additional orders that will be placed for new hires and/or special circumstances orders, UK PPD will contact the contractor to schedule a measurement/sizing appointment for the employee. The contractor must make a measurement/sizing appointment within two (2) weeks of the original request. **Failure of the contractor to attend two consecutive appointments may be grounds for contract cancellation.** Contractor will be responsible for all travel and related expenses associated with these appointments.

C. SHIPPING INSTRUCTIONS

All orders received must be packaged and shipped as specified on the order sheet. Individual's garments shall be shipped complete and all items packaged together with employee's name, department and contents clearly labeled on each individual package. All complete orders should then be sent directly to the attention of the employees department, ex. Grounds Dept., Paint Dept., etc. All orders for standard size items should be delivered no later than two (2) months after the date on the order. Orders for irregular/oversized items should be sent as quoted at time of order.

D. EMBROIDERY/PATCH RESPONSIBILITY

It will be the responsibility of the contractor to supply all shirts with "UK PPD" patch or embroidered logo on the left breast. The patch/logo will be determined at a later date and will be no more than four (4) colors.

E. INVOICING/PAYMENT

Invoices shall include the employee's name and department as well as a list of the items, quantity, unit price and total amount of the purchase for each employee. Such invoices may be continuous or individual and should be sorted by department. Partial payments will be authorized; however, payments will be made no more than once a month.

F. VENDOR REPRESENTATION

The offeror must have adequate representation to accommodate the University account. The representative will have the responsibility to call on the Purchasing Division and on other University Departments, and resolve invoice discrepancies and other problems that may occur.

G. REQUIREMENT FOR COLLEGIATE LICENSING COMPANY (CLC) LICENSING

The University of Kentucky has partnered with the Collegiate Licensing Company (CLC) to establish a licensing program for protection of its logos and insignias. The licensing program strives to regulate, promote and protect the commercial use of the University's name and identifying marks, both on and off campus. Licenses must be obtained for the use of any UK mark, image, photograph or logo in a commercial product. Although items consumed internally by the University, its departments, campus organizations, and University related clubs are NOT required to have royalties paid on them and are not for resale, they must be produced by an official University of Kentucky Licensee, and designs must be approved by the University's licensing office. This policy ensures that all items bearing the University's identity represent the University in an acceptable manner and on a quality product.

H. IRREGULAR/OVERSIZED

Any order that contains irregular/oversized items must be clearly identified as such prior to the order being processed and must also be approved by the appropriate UK PPD business officer.

7.2 Optional Services

The Offeror may include in their proposal additional services or items to be considered by the University above and beyond services listed above. Pricing for such services is to be included in Section 8.2.

8.0 Financial Offer Summary

Uniform material and the quality of the construction must meet the approval of the evaluation committee. Offerors chosen for presentations must bring with them samples of the items they have proposed.

All totals and dollar values are an estimate only. The estimated spend for item #1 is for the initial year only.

Where percent discounts are requested, please bid to the 10th of a percent. (Example: 20.5%)

| <u>ITEM</u> | <u>MFG.</u> | <u>EST. SPEND/USAGE</u> | <u>DISCOUNT OFF RETAIL</u> | <u>EXT PRICE</u> |
|--|---------------|-------------------------|----------------------------|------------------|
| 1. Uniform Clothing Articles | Dickies | \$275,000 (List Price) | _____% | |
| <hr/> | | | | |
| Alternate Brand Proposed | | | | |
| 2. Shoes and Boots, Black, Hard Toe, Leather, | Weinbrenner | \$25,000 (List Price) | _____% | |
| <hr/> | | | | |
| Alternate Brand Proposed | | | | |
| 3. Belt, 1 ½", Black Leather Edwards Unisex Dress Belt | | 500/ea | \$_____/ea | \$_____ |
| <hr/> | | | | |
| Alternate Brand Proposed | | | | |
| 4. Jacket w/zip-out liner | Red Cap JT-36 | 590/ea | \$_____/ea | \$_____ |
| <hr/> | | | | |
| Alternate Brand Proposed | | | | |
| 5. Suspenders, Black, Clip-on | | 100/ea | \$_____/ea | \$_____ |
| <hr/> | | | | |
| Brand Proposed | | | | |

| | | | |
|---------------------------------|-------|-------------|---------|
| 6. Suspenders, Black, Button-on | 50/ea | \$_____ /ea | \$_____ |
|---------------------------------|-------|-------------|---------|

Brand Proposed

| | | | |
|------------------------|--------|-------------|---------|
| 7. Baseball Cap w/logo | 300/ea | \$_____ /ea | \$_____ |
|------------------------|--------|-------------|---------|

Brand Proposed

| | | | |
|-----------------------------------|---------|-------------|---------|
| 8. Embroidery Charge, 4 Color Max | 3000/ea | \$_____ /ea | \$_____ |
|-----------------------------------|---------|-------------|---------|

| | | | |
|---|---------|-------------|---------|
| 9. Patch, if substituted for embroidery | 3000/ea | \$_____ /ea | \$_____ |
|---|---------|-------------|---------|

| | | | |
|------------------------|--------|-------------|---------|
| 10. Alter uniform item | 200/ea | \$_____ /ea | \$_____ |
|------------------------|--------|-------------|---------|

| | |
|-----------------------------|----------------|
| TOTAL FOR ITEMS 3-10 | \$_____ |
|-----------------------------|----------------|

11. Charges for irregular/oversized items will be based upon a percentage increase per each size over the standard size. With your proposal, you must submit, on separate letterhead, charges for irregular/oversized items.

8.1 Optional Services (Section 7.2)

Offerors must provide a bid on the optional services detailed in Section 7.2. The University shall, in its sole discretion, make the determination as to whether the optional service will be undertaken.

Please submit your bid on optional services by completing Section 7.2.

8.2 Alternate Pricing

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

Appendix A

HIPAA Business Associate Agreement

This HIPAA Business Associate Agreement (“BAA”), effective as of _____, is made by and between The University of Kentucky (the “UNIVERSITY” and _____ (the “COMPANY”) for the purpose of compliance with the Administrative Simplification provisions of the Health Insurance Portability and Accountability Act of 1996, and regulations issued pursuant thereto (“HIPAA”). This BAA hereby amends and is incorporated into any underlying agreement between UNIVERSITY and the Company (the “Agreement”). In consideration of the foregoing and of the mutual covenants and agreements herein contained, and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties agree to the foregoing and as follows:

1. HIPAA Privacy Regulations.

- (a) ***General.*** COMPANY acknowledges that it is a Business Associate of UNIVERSITY for purposes of HIPAA's Standards for Privacy of Individually Identifiable Health Information, (as the same may be amended from time to time, the "***Privacy Regulations***"). Accordingly, from and after April 14, 2003 or the effective date of this Agreement, whichever is later, (the "***Privacy Compliance Date***"), COMPANY shall comply with the provisions set forth in **Attachment A** with respect to UNIVERSITY's Protected Health Information.
- (b) ***Uses and Disclosures of Protected Health Information.*** From and after the Privacy Compliance Date, Company shall Use and Disclose Protected Health Information only as necessary to perform its obligations under the Agreement between UNIVERSITY and the Company dated (insert date of underlying agreement here) (“Agreement”). Notwithstanding the foregoing, COMPANY may Use Protected Health Information received by COMPANY in its capacity as a Business Associate of UNIVERSITY if necessary: (i) for the proper management and administration of COMPANY; and/or (ii) to carry out the legal responsibilities of COMPANY. COMPANY may Disclose Protected Health Information received by COMPANY in its capacity as a Business Associate of UNIVERSITY for the purposes described in **subsections (i) and (ii)** of this **subsection (b)** only if the Disclosure is: (iii) Required by Law; or (iv) COMPANY obtains reasonable assurances from the person to whom the Protected Health Information is disclosed that it will: (x) be held confidentially and Used or further Disclosed only as Required by Law or for the purpose for which it was Disclosed to the person; and (y) notify COMPANY of any instances of which it is aware in which the confidentiality of the Protected Health Information has been breached.
- (c) ***Failure to Comply with HIPAA Obligations; Opportunity to Cure; Termination.*** If, following the Privacy Compliance Date, COMPANY notifies UNIVERSITY, or UNIVERSITY otherwise has reason to believe, that COMPANY has violated a material

term of any of the requirements set forth in this **Section 1**, not later than five (5) calendar days following UNIVERSITY's request, the parties shall meet (in person or by telephone, as requested by UNIVERSITY) to discuss UNIVERSITY's concerns. Following such meeting, COMPANY shall advise UNIVERSITY whether it agrees or disagrees with UNIVERSITY's concerns. If COMPANY agrees with UNIVERSITY's concerns, not later than five (5) calendar days after such meeting, COMPANY shall propose to UNIVERSITY a plan for addressing UNIVERSITY's concerns (the "**Corrective Plan**") and, if necessary, the parties thereafter shall engage in good faith discussions in an effort to reach agreement on the terms of the Corrective Plan. If COMPANY materially fails to implement the terms of the mutually agreed Corrective Plan, then, in addition to any other rights and remedies that may be available to UNIVERSITY, UNIVERSITY shall have the right to terminate the Agreement. If COMPANY disagrees with UNIVERSITY's concerns, then COMPANY and UNIVERSITY will follow the dispute resolution procedures set forth in the Agreement, or, if dispute resolution procedures are not set forth in the Agreement, then the parties will engage in good faith discussions at successively higher levels of management until the dispute has been resolved. Notwithstanding the foregoing or any contrary provisions or terms in the Agreement, if the parties are unable to reach agreement on the terms of the Corrective Plan or otherwise are unable to reach agreement with respect to UNIVERSITY's concerns within ninety (90) calendar days following UNIVERSITY's initial request for a meeting as described above, then, upon written notice to COMPANY, UNIVERSITY shall have the right to terminate the Agreement if UNIVERSITY has determined that COMPANY has violated a material term of any of its HIPAA-related obligations hereunder. Such termination shall be without liability or further obligation on the part of UNIVERSITY to COMPANY, except for those provisions that survive any termination of the Agreement.

- (d) **Treatment of Protected Health Information.** Notwithstanding anything contained in the Agreement to the contrary, Protected Health Information shall not be included within any definition of "confidential" or "proprietary" information or any other similar term(s) in the section(s) of the Agreement related to protection of confidential or proprietary information, if any. COMPANY's obligations with respect to Protected Health Information are set forth in this BAA.
- (e) **Defined Terms.** Capitalized terms used in this **Section (1)** and in **Attachment A**, but not defined herein, shall have the meanings ascribed to them in the Privacy Regulations.

2. **Changes or Modifications to HIPAA and/or HIPAA Regulations.** If, following the effective date of this BAA, HIPAA and/or any of the HIPAA regulations are modified and/or additional regulations are issued pursuant to HIPAA (each, a "**Modification**") and, as a result, UNIVERSITY determines that modifications to the terms of the Agreement are required in order for UNIVERSITY to comply with such Modification(s) (including by way of example and not of limitation, if additional provisions are required to be included in agreements between Covered Entities and Business Associates), promptly following UNIVERSITY's request, the parties shall engage in good faith negotiations regarding any modifications to the terms of this Agreement that may be necessary or appropriate. If the parties are unable to agree on any such modifications to the terms of the Agreement following such good faith negotiations, which negotiations shall not exceed ninety (90) calendar days from the date of UNIVERSITY's request for negotiations unless otherwise

agreed to by the parties, then following expiration of such ninety (90) calendar day period, UNIVERSITY shall have the right to terminate the Agreement as of a date specified in a notice of termination to COMPANY, which date shall be any date on or before the applicable compliance date relating to such Modification. Such termination shall be without liability or further obligation on the part of UNIVERSITY to COMPANY, except for those provisions that survive any termination of the Agreement.

3. **Effect of BAA.** If there are any conflicts between the terms of the Agreement and the terms of this BAA, the terms of the BAA shall control. All non-conflicting terms of the Agreement shall survive and continue in full force and effect.

IN WITNESS WHEREOF, duly authorized representatives of each of UNIVERSITY and the Company have executed this BAA as of the Effective Date.

UNIVERSITY OF KENTUCKY

COMPANY: _____

By: _____

By: _____

Name: _____

Name: _____

Title: _____

Title: _____