Request for Proposal
UK-1983-20
Proposal Due Date – 8/27/19

Student Health Plan Consulting and Actuarial Services
REQUEST FOR PROPOSAL (RFP)

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

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<th>PROPOSAL NO.:</th>
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<td>Issue Date:</td>
<td>7/25/19</td>
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<td>Title:</td>
<td>Student Health Plan Consulting and Actuarial Services</td>
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<tr>
<td>Purchasing Officer:</td>
<td>Rebecca Purcell</td>
</tr>
<tr>
<td>Email/Phone:</td>
<td><a href="mailto:rpurcell@uky.edu">rpurcell@uky.edu</a>/859-257-5479</td>
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RETURN ORIGINAL COPY OF PROPOSAL TO: UNIVERSITY OF KENTUCKY PURCHASING DIVISION
411 S LIMESTONE
ROOM 322 PETERSON SERVICE BLDG.
LEXINGTON, KY 40506-0005

IMPORTANT: PROPOSALS MUST BE RECEIVED BY: 08/27/19 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 statement made above.

SWORN STATEMENT OF COMPLIANCE WITH CAMPAIGN FINANCE LAWS
In accordance with KRS 45A.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 #

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Revised 2-12-2018
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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 RFP documents by additions, deletions, clarifications and/or corrections.

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

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 "contractor" means the entity receiving a contract award.

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 "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 RFP is issued to solicit proposals from qualified, financially sound, responsible firms in order to select a contractor to provide a comprehensive student insurance program for the University of Kentucky students. It is the University’s intent to award a single contract; however, we reserve the right to make multiple awards on a basis that best serves the University’s needs.

Any Offeror submitting a response to this RFP shall be willing to offer a policy according to the specifications outlined in this request and the same policy shall be available for purchase by all University of Kentucky students and their dependents. The policy shall be available for international and domestic students and the dependents of both groups. In addition, the policy shall be available for purchase by participants and dependents of the following groups: J-1 Visa (visiting scholars), English as a Second Language students (ESL), University of Kentucky Dietetic Interns, University of Kentucky graduate students on the Bowling Green campus, Bluegrass Community and Technical College (BCTC) students located at Cooper and Leestown Campuses, and other groups as deemed eligible by University of Kentucky.

Specific Filing, Administrative Issues and Requirements of Health Insurance Plan:

- The plan shall be filed in Kentucky, and shall follow applicable Commonwealth of Kentucky regulations for health insurance plans. The plan shall also be submitted to the Commonwealth of Kentucky Department of Insurance for any necessary approval not later than April 15 of each year.
- The University will be offered the opportunity to review documents prior to filing.
- The plan may not be filed in a trust.
- The plan shall have the actuarial minimum value certified. Attachment 1 provides the most recent certification.
- Rates and claims forecast.

2.2 Background Information

Historically, the student health plan was fully-insured. The product became self-insured January 1, 2016 at which time the actuarial services and consulting became more complex. The service contract of plan enrollment was bundled to include vendors who handled claims, stop-loss, provider network administration, consulting and actuarial services. A brochure available to eligible students is provided as Attachment 2. The goal of this RFP is to separate the consulting and actuarial services into one contract.

A. University Health Service

University Health Service (UHS) is a student health service with a wide range of outpatient services. University of Kentucky full-time graduate, professional and undergraduate students are required to
pay a mandatory health fee; BCTC and part-time students may elect to pay the health fee or be seen on a fee-for-service basis. Spouses are eligible for care at UHS on a fee-for-service basis; children are not eligible for care. UHS includes a primary care clinic, a women’s care clinic, and a behavioral health clinic. Professional staffing includes physicians and nurse practitioners. All physicians are board certified in such areas as internal medicine, family practice, psychiatry and preventive medicine.

The health fee covers unlimited visits to University Health Service. UHS is open Monday - Friday from 8:00 a.m. to 6:00 p.m., and Saturday mornings from 9:00 a.m. to 11:00 a.m. when classes are in session. Hours are shortened between semesters and during the summer. A more extensive description of UHS, as well as those services covered by the health fee (and those not covered) is available at www.ukhealthcare.uky.edu/uhs. See Attachment 3, University Health Service Fee Summary, for additional information about University Health Service and its relationship with the successful offeror.

B. University of Kentucky Counseling Center

The University of Kentucky Counseling Center: Consultation and Psychological Services (UKCC), provides confidential psychological counseling to currently enrolled UK students and consultation services to currently enrolled UK students, UK faculty and staff, and caregivers. Any student who is taking at least six credits at UK may use the services at the Counseling Center (UKCC). The following counseling services are offered: individual, couple, group, major/career counseling, and outreach programming. There is no charge for the services at UKCC. The student health insurance successful offeror would not be billed for UKCC services.

C. UK Campus Wellness Opportunities

The University of Kentucky invests in the healthy lifestyle of its students. The Johnson Center is a state–of–the–art recreation facility designed to provide choices and opportunities for healthy living available for current UK and eligible BCTC students. Facilities are available for basketball, weight training and conditioning, group fitness classes, climbing, volleyball, badminton, jogging, racquetball, and wallyball. Opened in 1989 and located adjacent to the Johnson Center, the Lancaster Aquatic Center offers indoor swimming to the UK and BCTC community. Opened in 2019 is the Alumni Gym Fitness Center.

Services provided by the Johnson Center, Lancaster Aquatic Center, and Alumni Gym Fitness Center are available at no additional cost to students who pay the recreation fee through their tuition bill. Students who are not required to pay the recreation fee may opt in to membership.

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

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<td>Release of RFP</td>
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<tr>
<td>Deadline for Written Questions</td>
<td>3 p.m. Eastern Time on 08/06/19</td>
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<tr>
<td>RFP Proposals Due</td>
<td>3 p.m. Eastern Time on 08/27/19</td>
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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:

Ms. 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: rebecca.purcell@email.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

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 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 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:** Two (2) 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 two (2) printed original copy

• **Financial Proposal:** Two (2) 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 two (2) 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 – Experience in Student Insurance Market
- Criteria 6 – Financial Stability
- Criteria 7 – Contracts, Agents, Commissions and Other Compensation
- Criteria 8 - 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 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.).

- A statement that the offeror’s proposal shall remain valid for six (6) months after the closing date of the receipt of the proposals.
• A statement that the offeror will accept financial responsibility for all travel expenses incurred for oral presentations (if required) and candidate interviews.

• A statement that summarizes any deviations or exceptions to the RFP requirements and includes a detailed justification for the deviation or exception.

• 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.

As part of the Executive Summary and Proposal Overview, Offeror shall submit with their response a summarized profile describing the demographic nature of their company or organization:

• When was your organization established and/or incorporated?
• Indicate whether your organization is classified as local, regional, national, or international.
• Describe the size of your company in terms of number of employees, gross sales, etc.
• Is your company certified as small business, minority-owned, women-owned, veteran-owned, disabled-owned, or similar classification?
• Include other demographic information that you feel may be applicable to the Request for Proposal submission.

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

Reminder: To allow for efficient evaluation, please follow the below format when forming answers to proposal questions in all RFP sections:

• Replicate or copy the exact question from the RFP into your submission
• Retain the original numbering sequence of the RFP questions
• Place your answer directly below the numbered question to which it relates

1. The Offeror shall describe its firm, including history, organizational structure, ownership structure, names of principals, number of employees, years in business and areas of higher education enhancement expertise. The Offeror shall describe its philosophical approach to provision of services and other factors reflecting its ability to meet the needs described in this RFP.

2. Describe the proposed project staffing/organization and internal controls to be used during the course of an engagement. Provide resumes or bio information for the key personnel who will be assigned to a potential consultant contract, including their experience in specific components of consulting for the category(s) for which you are submitting a response. Include
a historical sampling of engagements in which each key person has been involved along with the duration of each engagement. Include a written assurance that the key individuals listed and identified will perform the work and will not be substituted with other personnel without the University’s prior approval.

3. Provide an organizational chart of your firm indicating lines of authority for personnel involved in performance of a potential contract and relationships of this staff to other programs or functions of the firm. Describe your internal mechanisms to ensure oversight and involvement of your management staff in meeting University objectives.

4. What is your firm’s turnover rate for the employees that perform this type of work? How does your firm select and train the individuals that perform this work? Identify criteria utilized by your firm in hiring and assigning staff.

5. Describe your specific experience working in the Kentucky and surrounding states’ markets, including a discussion of clients represented by the Offeror’s firm whose interests may either coincide or conflict with the interests of the University.

6. Identify backup/contingency plans in the event of employee illness, termination, additional workload, etc. Describe transition that may occur if a major project or account manager should be replaced during the course of an engagement.

7. Has your firm or any affiliated company of the firm been engaged by the University for its operations over the past ten (10) years? If so, describe the nature of the engagement (i.e., scope of services, duration of engagement, etc.) and related outcomes.

8. If the Offeror has had a contract terminated for default in the past five (5) years, describe such incident. Termination for default is defined as notice to stop performance due to the Offeror’s non-performance or poor performance, the issue of performance being either (a) not litigated due to inaction on the part of the Proposer or (b) litigated and such litigation determined that the Proposer was at fault. Submit full details of terms for default including the other party’s 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 no such termination for default has been experienced by the Offeror in the past five years, so indicate.

9. Include any other information that may be of value in evaluating the Offeror’s firm’s qualifications.

4.6 Criteria 2 – Services Defined

1. Describe in narrative form how your firm would perform the proposed services. Specifically identify the category(s) listed below that your firm proposes to perform. Based on experience with similar engagements, please describe the services that your firm can offer the University. The narrative shall be in sufficient detail to convey to the evaluation committee the Offeror’s knowledge of the subjects and skills necessary to complete engagements.
Note: If your response is directed toward multiple categories, your proposal structure shall clearly delineate responses as they apply to the different categories.

A. Finance & Administration
B. Research
C. Academic
D. Facilities & Infrastructure

2. Describe your approach to project management. Describe the methodology your firm employs to ensure successful project planning, management, control and completion, and appropriate assignment of employee resources. What factors differentiate your firm from others offering similar services?

3. Identify any business partners which would be used by your firm and describe their role(s) and relationship to your firm. Describe whether any services would be provided by subcontractor(s) or independent contractor(s).

4. Describe your firm’s use of technology and communications with engagements that may result from this RFP. What technology resources would you employ with the University during an engagement? For example, how/when do you utilize web conferencing as a means to communicate as opposed to in-person employee visits requiring travel expenses, etc.? Do you utilize web-based reporting tools? What presentation platforms (PowerPoint, Prezi, etc.) do you commonly utilize? Describe other technology tools in use within your firm, both proprietary and non-proprietary.

5. Describe your accounts receivable processes. How would billings for University engagements be processed in-house? Describe how you facilitate, conduct, and bill travel and related expenses.

6. Describe ideas or methodologies that your firm employs that may produce cost savings for the University during an engagement or project. List any value-added services your firm offers that would be at no additional charge to the University.

7. Describe the information and support that would be required from the University to carry out an engagement in the category(s) listed. What materials, information, or services would be the responsibility of the University?

A. Stop-Loss Renewal and Marketing Oversight
   i. Actuarial analysis of stop-loss performance, optimal risk level, incorporation into forecast and budget
   ii. Stop – Loss specialty firm coordination and review

B. Form 1094 Annual Oversight

C. Pulse Surveys and Peer Analysis, as Required

D. Quarterly Reports, Fund Analysis, Budgeting and Vendor Contract Renewals
   i. Work with KYRX to evaluate administrator and PBM performance, establish reporting and account structure requirements
   ii. First quarter report and mid-year analysis, including a premium adequacy study,
renewal forecast, budget, and funding (On-Site Meeting 1)
iii. Develop rates for each plan/academic year for all plan options and coverage periods
iv. Second Quarter Fund review
v. Third Quarter Fund Report Review (On-Site Meeting 2)
vi. Fourth Quarter Fund Report Review
vii. Analyze and calculate actuarial values for plan changes
viii. Negotiate renewal contracts and rates as necessary

E. Develop IBNR liability estimate at the close of each plan fiscal year

F. Assist in RFP process for student health processes including but not limited to enrollment and claims administration, optional insurances such as dental, vision and needle stick coverage.

G. Assist the university with the maintenance of the SHP plan document and Minimum Essential Coverage (MEC) filing status with the Centers for Medicare and Medicaid Services (CMS), including an actuarial opinion of minimum value as necessary for plan changes.

H. Additional Services, as required.

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 a description of the annual implementation process to include website, informational materials, members of company involved, and a sample implementation schedule.

4.9 Criteria 5 - Experience in Student Insurance Market

It is preferred that Offerors have at least five years of student health insurance experience. In addition to this level of experience with student insurance, the company shall have insured a single population in excess of 4,000 insured under one policy. The company will provide a list of schools insured in which a population of more than 4,000 have been insured and will provide a list of references. The company will also provide at least two recent references for contracts that were not renewed or were cancelled, if applicable.

4.10 Criteria 6 – Financial Stability

The carrier will provide certification of the financial strength of the company as rated by A.M. Best. The carrier shall have at least an “A” rating by A.M. Best and present all available ratings held by the company for the last five years. Any changes in the ratings presented over this five-year time period should be explained.
4.11 **Criteria 7 - Contracts, Agents, Commissions and Other Compensation**

Any offeror responding to this RFP shall agree to hold contracts with companies or persons identified in the response and identify compensation to be distributed to those companies or persons. Any contracts for re-insurance or other arrangements with any insurance company shall be disclosed, documented and comply with the regulations of the Commonwealth of Kentucky Insurance Department. Any change in subcontractors (e.g., third-party administrators for claims payment) or insurance company and all reinsurance companies shall be reviewed and approved by the University prior to any such change.

4.12 **Criteria 8 – 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.

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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
- Experience in Student Insurance Market
- Financial Stability
• Contracts, Agents, Commissions and Other Compensation

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 for three (3) years, and is renewable for up to two (2) additional one (1)-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><strong>Coverages</strong></th>
<th><strong>Limits</strong></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>$2,000,000 each occurrence (BI &amp; PD combined) $2,000,000 Products and Completed Operations Aggregate</td>
</tr>
</tbody>
</table>
Business Automobile Liability covering owned, leased, or non-owned autos $1,000,000 each occurrence (BI & PD combined)

Professional Liability (Errors & Omissions) $3,000,000 each occurrence

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**

Contractor shall provide a quarterly report to the University of all product(s) and/or service(s) based on an Excel template provided by the Purchasing Division. The template will require basic line item order information to include, but not limited to: purchase transaction date, purchase order number, product/catalog number, description, UOM, price each, extended price, invoice number, etc. The Excel reporting template is available upon request from the Purchasing Division and is subject to change. The Excel template provided by the Purchasing Division is the only reporting format that may be used; Contractor-submitted reports based on internal reporting or templates will not be accepted. The reporting date structure shall follow the below outline and begin with the quarter in which the contract is executed. The date of the purchase order (or other transaction type that may be used with the Contractor (e.g., procurement card)) shall determine the quarter in which the transaction is to be reported.
Report headers shall also be completed with the Contractor’s name, contract number, and reporting period.

Reports can be submitted via email to the Category Specialist or other Purchasing Officer responsible for the resultant contract or email to UKPurchasing@uky.edu based by the deadline(s) listed herein.

The University, or its duly authorized representatives, shall also 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.

In the event that successful Contractor(s) does not meet the reporting requirements based on the terms and conditions herein, the contract is subject to cancellation or termination.

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). 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.

6.26 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.

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.

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 Brand Standards

The contractor must adhere to all University of Kentucky Brand Standards. University Brand
Standards are maintained by the University Public Relations Office (UKPR) and can be viewed at
http://www.uky.edu/pmarketing/brand-standards. 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.

Graphics standards for the UK HealthCare areas are governed by UK HealthCare Clinical
Enterprise Graphic Standards, found at: https://ourbrand.ukhealthcare.org.

Contractor warrants that its products or services provided hereunder will be in compliance with all
applicable Federal disabilities laws and regulations, including without limitation the accessibility
requirements of Section 255 of the Federal Telecommunications Act of 1996 (47 U.S.C. § 255) and
Section 508 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794d), and its implementing
regulations set forth at Title 36, Code of Federal Regulations, Part 1194. For purposes of clarity,
updated regulations under Section 508 standards now incorporate WCAG 2.0, and for purposes of
this agreement WCAG 2.0 Level AA compliance is expressly included. Contractor agrees to
promptly respond to, resolve and remediate any complaint regarding accessibility of products or
services in a timely manner and provide an updated version to University at no cost. If deficiencies
are identified, University reserves the right to request from Contractor, a timeline by which
accessibility standards will be incorporated into the products or services provided by Contractor and
shall provide such a timeline within a commercially reasonable duration of time. Failure to comply
with these requirements shall constitute a material breach of this Agreement and shall be grounds
for termination of this Agreement.

Where any customized web services are provided, Contractor represents that it has reviewed the
University’s Web Policy and all products or services will comply with its published standards.
Contractor will provide University with a current Voluntary Product Accessibility Template (VPAT)
for any deliverable(s). If none is available, Vendor will provide sufficient information to reasonably
assure the University that the products or services are fully compliant with current requirements.

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.

6.30 Requirement For Contractor Rebate

As a condition of award, successful Contractor(s) shall provide a rebate to the University for all
goods and/or services provided under the resultant contract. The rebate shall be on a quarterly
basis and shall be equivalent to 2% of the aggregate net value of goods/services sold to the
University, exclusive of freight charges.
The rebate shall be reported and paid within 30 calendar days of the end of conventional calendar quarters ending March 31, June 30, September 30, and December 31 of each year. The rebate applies to orders which have been successfully delivered/installed and invoiced in the previous quarter. Rebates shall be in the form of a check made payable to the University of Kentucky and shall be delivered to the Purchasing Division, Room 322 Peterson Service Building, 411 S. Limestone, Lexington, Kentucky 40511-0005. Each rebate payment must be accompanied by a statement indicating the referenced University price contract to which it applies and indicate the aggregate value of goods/services provided and invoiced during the quarter, the rebate percentage applied, and the net amount of the quarterly rebate payment. If any errors are found in the report or calculations as determined by University, the successful Contractor shall correct immediately upon notification.

The successful Contractor(s) may extend the pricing, terms, and/or conditions of this contract to other universities, state agencies, public and private institutions, with prior approval of the University of Kentucky. The successful Contractor(s) will pay the University of Kentucky a contract administration fee of two (2)% of goods/services provided and invoiced during the quarter. The rebate shall be reported and paid within 30 calendar days of the end of conventional calendar quarters ending March 31, June 30, September 30, and December 31 of each year. The rebates shall be in the form of a check made payable to the University of Kentucky and shall be delivered to the Purchasing Division, Room 322 Peterson Service Building, 411 S. Limestone, Lexington, Kentucky 40511-0005.

In the event that successful Contractor(s) does not provide the quarterly rebate payment based on the terms and conditions herein, the contract is subject to cancellation or termination.

6.31 Payment Terms

The University adheres to a strategic approach regarding payables management based on risk minimization, processing costs, and industry best practices. As such, suppliers and individuals doing business with the University will be paid based on the following protocol:

1. The University utilizes Payment Plus (e-payables) as its primary default form of payment. By enrolling in Payment Plus, suppliers can receive payments immediately (all invoices will be paid immediately upon confirmation of goods receipt and invoice). The process is electronic and the supplier receives real-time payment notices. Additional information regarding Payment Plus (and enrollment form) can be found at: https://www.uky.edu/ufs/payment-plus-supplier-enrollment-form.

2. Payments by check. Payment terms for check payments are Net-40.

3. Individuals receiving payments from the University that require ACH direct payments will only be processed under special circumstances as approved by the Controller’s office. Payment terms for ACH are Net-40.
7.0 **OPTIONAL SERVICES**

Any and all additional options that are deemed by the Offeror as contributing value, either physical or economic, should be detailed along with a statement of related costs or cost savings. The University shall, in its sole discretion, make the determination as to whether the optional service will be undertaken.

A. Assist in RFP process for student health processes including but not limited to enrollment and claims administration, optional insurances such as dental, vision and needle stick coverage.
B. Onsite meeting for Third Quarter Fund Report Preparation and Review
C. Additional Services, as required.
8.0 FINANCIAL OFFER SUMMARY

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

8.1 Mandatory Services

Please complete information below to provide support for your firm fixed price bid.

A. Stop-Loss Renewal and Marketing Oversight
   i. Actuarial analysis of stop-loss performance, optimal risk level, incorporation into forecast and budget
   ii. SBR coordination and review

B. IRS Compliance (i.e. Form 1094)

C. Pulse Surveys and Peer Analysis as Required

D. Quarterly Reports, Fund Analysis, Budgeting and Vendor Contract Renewals

E. Work with KYRX to evaluate administrator and PBM performance, establish reporting and account structure requirements

F. First quarter report and mid-year analysis, including a premium adequacy study, renewal forecast, budget, and funding (On-Site Meeting 1)

G. Develop rates for each plan/academic year for all plan options and coverage periods

H. Second Quarter Fund review

I. Third Quarter Fund Report Preparation and Review

J. Fourth Quarter Fund Report Preparation and Review

K. Analyze and calculate actuarial values for plan changes

L. Negotiate renewal contracts and rates as necessary

M. Develop IBNR liability estimate at the close of each plan fiscal year

8.2 Optional Services (Section 7.0)

Offerors shall provide a bid on the optional services detailed in Section 7.0. The University shall, at 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 7.0.
8.3 Alternate Pricing

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

Additional Financial Commitment

In addition to the financial offers, please propose a financial commitment to assist the University. Options may include a signing bonus, scholarships, internships, committee to hire University Graduates or a (%) percentage rebate.