

SOLICITATION/CONTRACT/ORDER FOR COMMERCIAL ITEMS
OFFEROR TO COMPLETE BLOCKS 12, 17, 23, 24, & 30

1. REQUISITION NUMBER: REQ-4310-16-0125
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 2. CONTRACT NO.: CPSC-N-16-0004
 3. AWARD EFFECTIVE DATE: 06/13/2016
 4. ORDER NUMBER:
 5. SOLICITATION NUMBER: CPSC-Q-16-0015
 6. SOLICITATION ISSUE DATE:

7. FOR SOLICITATION INFORMATION CALL: Doris Kessler
 a. NAME: Doris Kessler
 b. TELEPHONE NUMBER (No collect calls): 301-504-7037
 8. OFFER DUE DATE/LOCAL TIME:

9. ISSUED BY: CONSUMER PRODUCT SAFETY COMMISSION
 DIV OF PROCUREMENT SERVICES
 4330 EAST WEST HWY
 ROOM 523
 BETHESDA MD 20814
 CODE: FMPS
 10. THIS ACQUISITION IS: UNRESTRICTED OR SET ASIDE: % FOR:
 SMALL BUSINESS
 HUBZONE SMALL BUSINESS
 SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESS
 WOMEN-OWNED SMALL BUSINESS (WOSB) ELIGIBLE UNDER THE WOMEN-OWNED SMALL BUSINESS PROGRAM
 EDWOSB
 8(A)
 NAICS:
 SIZE STANDARD:

11. DELIVERY FOR FOB DESTINATION UNLESS BLOCK IS MARKED: SEE SCHEDULE
 12. DISCOUNT TERMS: Net 30
 13a. THIS CONTRACT IS A RATED ORDER UNDER DPAS (15 CFR 700)
 13b. RATING:
 14. METHOD OF SOLICITATION: RFQ IFB RFP

15. DELIVER TO: CONSUMER PRODUCT SAFETY COMMISSION
 DIV OF HAZARD & INJURY DATA SYS
 4330 EAST WEST HIGHWAY
 ROOM 604-26
 BETHESDA MD 20814
 CODE: EPDS
 16. ADMINISTERED BY: CONSUMER PRODUCT SAFETY COMMISSION
 DIV OF PROCUREMENT SERVICES
 4330 EAST WEST HWY
 ROOM 523
 BETHESDA MD 20814
 CODE: FMPS

17a. CONTRACTOR/OFFEROR: SSM-SLUH INC
 10101 WOODFIELD LANE
 SAINT LOUIS MO 63132-2937
 CODE: 080142361
 FACILITY CODE:
 18a. PAYMENT WILL BE MADE BY: CPSC Accounts Payable Branch
 AMZ 160
 P. O. Box 25710
 Oklahoma City OK 73125
 CODE: FMPS
 TELEPHONE NO.:

17b. CHECK IF REMITTANCE IS DIFFERENT AND PUT SUCH ADDRESS IN OFFER
 18b. SUBMIT INVOICES TO ADDRESS SHOWN IN BLOCK 18a UNLESS BLOCK BELOW IS CHECKED SEE ADDENDUM

19. ITEM NO.	20. SCHEDULE OF SUPPLIES/SERVICES	21. QUANTITY	22. UNIT	23. UNIT PRICE	24. AMOUNT
	DUNS Number: XXXXXXXXXX HOSPITAL ID# 3K843022 COR: Randolph Mitchell PHONE: 301-504-6962 EMAIL: rmittchell@cpsc.gov THE CONTRACTOR SHALL PROVIDE THE U.S. CONSUMER PRODUCT SAFETY COMMISSION, EPIDEMIOLOGY DATA SERVICE DEPARTMENT, THE FOLLOWING SERVICES IN ACCORDANCE WITH THE ATTACHED TERMS AND CONDITIONS: (Use Reverse and/or Attach Additional Sheets as Necessary)				

25. ACCOUNTING AND APPROPRIATION DATA: 0100A16DSE 2016 1117900000 EXHR004310 252E0
 26. TOTAL AWARD AMOUNT (For Govt. Use Only): \$34,175.60

27a. SOLICITATION INCORPORATES BY REFERENCE FAR 52.212-1, 52.212-4, FAR 52.212-3 AND 52.212-5 ARE ATTACHED. ADDENDA ARE ARE NOT ATTACHED.
 27b. CONTRACT/PURCHASE ORDER INCORPORATES BY REFERENCE FAR 52.212-4. FAR 52.212-5 IS ATTACHED. ADDENDA ARE ARE NOT ATTACHED.

28. CONTRACTOR IS REQUIRED TO SIGN THIS DOCUMENT AND RETURN COPIES TO ISSUING OFFICE. CONTRACTOR AGREES TO FURNISH AND DELIVER ALL ITEMS SET FORTH OR OTHERWISE IDENTIFIED ABOVE AND ON ANY ADDITIONAL SHEETS SUBJECT TO THE TERMS AND CONDITIONS SPECIFIED.
 29. AWARD OF CONTRACT: OFFER DATED: YOUR OFFER ON SOLICITATION (BLOCK 5), INCLUDING ANY ADDITIONS OR CHANGES WHICH ARE SET FORTH HEREIN, IS ACCEPTED AS TO ITEMS:

30a. SIGNATURE OF OFFEROR/CONTRACTOR
 30b. NAME AND TITLE OF SIGNER (Type or print)
 30c. DATE SIGNED
 31a. UNITED STATES OF AMERICA (SIGNATURE OF CONTRACTING OFFICER): Greg A. Grayson
 31b. NAME OF CONTRACTING OFFICER (Type or print): Greg A. Grayson
 31c. DATE SIGNED: 6/13/2016

19. ITEM NO.	20. SCHEDULE OF SUPPLIES/SERVICES	21. QUANTITY	22. UNIT	23. UNIT PRICE	24. AMOUNT
	<p>AT THIS TIME FULL FUNDING IS PROVIDED IN THE AMOUNT OF \$3,339.60 FOR THE BASE PERIOD.</p> <p>1. In accordance with FAR Clause 52.217-9, Option to Extend the Term of the Contract, the Consumer Product Safety Commission hereby exercises option period one for the period beginning July 1, 2016 through June 30, 2017. Pricing is in accordance with line items 0004-0005.</p> <p>2. The funded quantity for line item 0004 is not to exceed 11,500.</p> <p>3. As a result, funding is provided for line item 0004 in the amount of \$27,140.00.</p> <p>4. The funded quantity for line item 0005 is not to exceed 2,100.</p> <p>5. As a result, funding is provided for line item 0005 in the amount of \$3,696.00.</p> <p>6. As a result of the above funding is provided in the amount of \$30,836.00 for option period one for the performance period July 1, 2016 through June 30, 2017. Additional funding will be provided via modification at a later date when funding becomes available.</p> <p>Continued ...</p>				

32a. QUANTITY IN COLUMN 21 HAS BEEN

RECEIVED INSPECTED ACCEPTED, AND CONFORMS TO THE CONTRACT, EXCEPT AS NOTED.

32b. SIGNATURE OF AUTHORIZED GOVERNMENT REPRESENTATIVE 32c. DATE 32d. PRINTED NAME AND TITLE OF AUTHORIZED GOVERNMENT REPRESENTATIVE

32e. MAILING ADDRESS OF AUTHORIZED GOVERNMENT REPRESENTATIVE 32f. TELEPHONE NUMBER OF AUTHORIZED GOVERNMENT REPRESENTATIVE

32g. E-MAIL OF AUTHORIZED GOVERNMENT REPRESENTATIVE

33. SHIP NUMBER 34. VOUCHER NUMBER 35. AMOUNT VERIFIED CORRECT FOR 36. PAYMENT 37. CHECK NUMBER

PARTIAL FINAL COMPLETE PARTIAL FINAL

38. S/R ACCOUNT NUMBER 39. S/R VOUCHER NUMBER 40. PAID BY

41a. I CERTIFY THIS ACCOUNT IS CORRECT AND PROPER FOR PAYMENT 42a. RECEIVED BY (*Print*)

41b. SIGNATURE AND TITLE OF CERTIFYING OFFICER 41c. DATE 42b. RECEIVED AT (*Location*)

42c. DATE REC'D (*YY/MM/DD*) 42d. TOTAL CONTAINERS

CONTINUATION SHEET

REFERENCE NO. OF DOCUMENT BEING CONTINUED
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NAME OF OFFEROR OR CONTRACTOR
SSM-SLUH INC

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	BASE CONTRACT JUNE 1, 2016 THROUGH JUNE 30, 2016				
0001	Not To Exceed: 950 NEISS Surveillance Reports and Special Survey Reports in accordance with the attached statement of work.	950	EA	2.36	2,242.00
0002	Not To Exceed: 150 NEISS Supplemental / Special Study Reports in accordance with the attached statement of work.	150	EA	1.76	264.00
0003	NEISS on-site coder training	32	HR	26.05	833.60
	FIRST OPTION PERIOD JULY 1, 2016 THROUGH JUNE 30, 2017				
0004	Not To Exceed: 11,500 NEISS Surveillance Reports and Special Survey Reports in accordance with the attached statement of work.	11500	EA	2.36	27,140.00
0005	Not To Exceed: 2,100 NEISS Supplemental / Special Study Reports in accordance with the attached statement of work.	2100	EA	1.76	3,696.00
	SECOND OPTION PERIOD JULY 1, 2017 THROUGH JUNE 30, 2018				
0006	Not To Exceed: 11,750 NEISS Surveillance Reports and Special Survey Reports in accordance with the attached statement of work. Amount: \$28,317.50 (Option Line Item)	11750	EA	2.41	0.00
0007	Not To Exceed: 2,200 Continued ...	2200	EA	1.80	0.00

CONTINUATION SHEET

REFERENCE NO. OF DOCUMENT BEING CONTINUED
CPSC-N-16-0004PAGE OF
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SSM-SLUH INC

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	NEISS Supplemental / Special Study Reports in accordance with the attached statement of work. Amount: \$3,960.00 (Option Line Item)				
	THIRD OPTION PERIOD JULY 1, 2018 THROUGH JUNE 30, 2019				
0008	Not To Exceed: 12,000	12000	EA	2.46	0.00
	NEISS Surveillance Reports and Special Survey Reports in accordance with the attached statement of work. Amount: \$29,520.00 (Option Line Item)				
0009	Not To Exceed: 2,300	2300	EA	1.83	0.00
	NEISS Supplemental / Special Study Reports in accordance with the attached statement of work. Amount: \$4,209.00 (Option Line Item)				
	FOURTH OPTION PERIOD JULY 1, 2019 THROUGH JUNE 30, 2020				
0010	Not To Exceed: 12,250	12250	EA	2.50	0.00
	NEISS Surveillance Reports and Special Survey Reports in accordance with the attached statement of work. Amount: \$30,625.00 (Option Line Item)				
0011	Not To Exceed: 2,400	2400	EA	1.87	0.00
	NEISS Supplemental / Special Study Reports in accordance with the attached statement of work. Amount: \$4,488.00 (Option Line Item)				

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15. 52.212-5 CONTRACT TERMS AND CONDITIONS REQUIRED TO IMPLEMENT STATUTES
OR EXECUTIVE ORDERS-COMMERCIAL ITEMS
16. ATTACHMENTS:
 - A. Statement of Work Addendum and Exhibit A
 - B. Expanded National Electronic Injury Surveillance System (NEISS)
Reporting Rule

STATEMENT OF WORK

NATIONAL ELECTRONIC INJURY SURVEILLANCE SYSTEM (NEISS)

1. DESCRIPTION OF SERVICES

The Contractor shall provide the Consumer Product Safety Commission (CPSC) with National Electronic Injury Surveillance System (NEISS) reports as specified in the contract line items and in accordance with the Performance Work Statement. These reports shall be coded and transmitted to CPSC via an encrypted personal computer supplied by the Government.

2. SERVICES AND PRICES

The Contractor shall provide pricing in accordance with Block 20, Schedule of Supplies/Services for all contract line item numbers.

3. CONTRACT TYPE

This is a fixed price, not to exceed contract for injury surveillance reports. It includes a base period and option years as noted on form 1449.

4. BACKGROUND

- A. The U.S. Consumer Product Safety Commission (CPSC) administers the Consumer Product Safety Act, the Flammable Fabrics Act, the Federal Hazardous Substances Act, the Poison Prevention Packaging Act, the Refrigerator Safety Act, and the Consumer Product Safety Improvement Act.
- B. The primary purpose of these acts is to protect the public against unreasonable risks of injury or death associated with consumer products. The Consumer Product Safety Act specifically states that the Commission will conduct research, studies, and investigations on the safety of consumer products and offer training in product safety investigation and test methods.
- C. The Commission collects information on injuries associated with consumer products by several data systems, including the National Electronic Injury Surveillance System (NEISS). This system consists of statistically selected hospitals that report information on product-associated emergency department cases to the Commission on a daily basis. Some hospitals use an employee to identify and code the relevant information and to transmit it electronically to CPSC via an encrypted personal computer provided by CPSC. Other hospitals elect to allow a third party to identify, code, and transmit the data. The data collected from the hospitals are compiled and provided to Commission analysts to identify consumer products that are associated with serious and/or prevalent injuries that are treated in hospital emergency departments. Since these data are collected from statistically selected hospitals, estimates can be projected to the national population as to the number and type of injuries involving individual consumer products. Manufacturers, distributors, retailers and consumers, as well as the Commission and other government agencies, use such data in de-identified form to assess the safety of consumer products, and to determine which products require further in-depth study to identify specific hazard patterns that may be associated with them.

- D. When a product is selected for more in-depth study, the Commission supplements the basic emergency department data collected through the NEISS with a follow-up inquiry on selected injuries. In such a case, the victim's name, address and telephone number is obtained by the Commission from the hospital. The victim (or parent of child victim) is contacted and, with his/her consent, information about the product's use and causal factors is obtained. (Patient identification is destroyed by the Commission when the inquiry is completed.) By combining this information with the basic emergency department surveillance data, the Commission can better understand consumer product-related accidental injuries and evaluate specific hazard and injury patterns together with potential corrective actions.
- E. The Consumer Product Safety Act provides that "No person shall be subject to civil liability to any person (other than the Commission or the United States) for disclosing information at the request of the Commission." 15 U.S.C. 2076(d).

5. OBJECTIVES

To provide the Commission with timely reports of consumer product-related injuries/deaths from the statistically selected hospitals who comprise the National Electronic Injury Surveillance System (NEISS). The reports, which provide the Commission the means for generating injury estimates of emergency visits for the United States and its territories, are used by the Commission:

- a) to study, analyze and investigate injuries associated with consumer products;
- b) to evaluate the effectiveness of regulations and standards, voluntary and mandatory, and other Commission actions (education programs, recalls, etc.), and
- c) to ascertain trends concerning new hazard/injury patterns.

6. PERFORMANCE WORK STATEMENT

Independently, and not as an agent of the U.S. Consumer Product Safety Commission (CPSC), the Contractor shall provide the personnel and facilities, except as provided in Section 11., GOVERNMENT FURNISHED MATERIALS/EQUIPMENT, necessary to electronically transmit, in a timely manner not to exceed 5 days, data on specified cases treated in the Contractor's emergency department.

A. NEISS SURVEILLANCED REPORTS

1. The Contractor shall establish a control system within the hospital to ensure that all consumer product-related physical injuries, injuries resulting in death, and dead-on-arrival cases, treated or otherwise processed by the hospital as emergency cases, will be reported to CPSC in the detail specified herein.
2. The Contractor shall review the hospital emergency case records in a timely manner, not to exceed 5 days, and code all "in-scope" cases as defined by the NEISS Coding Manual provided by the Government, and other categories of cases that CPSC may add on behalf of other Federal agencies.

3. The Contractor shall enter the coded information from the "in-scope" emergency department(s) cases to CPSC in a timely manner, not to exceed 5 days, into a personal computer. Transmission shall be via an encrypted personal computer supplied by CPSC and in accordance with the procedures specified by the CPSC. CPSC will provide the training and guidance on how to enter the data.
4. When the Contractor is notified by CPSC, by telephone or personal computer, that a specific transmitted case is one of the occasional cases selected for a follow-up inquiry, the Contractor shall supply the name, address and telephone number of the patient to the CPSC representative if the hospital allows such information to be supplied. No additional payment will be made to the Contractor for supplying this information. Follow-up inquiries will be performed by telephone or in person by representatives of CPSC or other Federal agencies. Such inquiries will only be performed on a small fraction of the Contractor's reported injury cases, i.e., approximately 1%. Patient identification information provided to CPSC will only be supplied to trained interviewers to permit them to gather additional etiologic or epidemiologic data about selected cases from the patient, relatives, or other individuals who might be aware of the detailed circumstances surrounding an injury. CPSC will keep the information as to identity of the victim confidential and remove patient identification information from reports and documents maintained by CPSC. CPSC will not supply patient identification information to other agencies without prior patient consent.

5. SPECIAL SURVEY REPORTS

CPSC may, from time to time, request the Contractor to temporarily provide additional information beyond that specified in the NEISS Coding Manual, (e.g., approximately 2 weeks before and after July 4th, CPSC requests the specific type of fireworks involved be noted in the narrative) in support of a special survey. Not more than six (6) special surveys will be conducted by CPSC during a one-year period. Cases identified as part of special surveys will not constitute more than 5 percent of the total product-related cases to be reported by the Contractor during the performance period. Instructions pertaining to each special survey will be sent to the Contractor approximately two (2) weeks in advance of each survey. Patient identification will not be required except for occasional cases selected for a follow-up inquiry as described in 6.A.4. CPSC will reimburse the Contractor for these special survey reports at the same price as regular Surveillance Reports.

6. ALL TRAUMA REPORTING

In order to provide information on ALL trauma injury cases seen/treated in the emergency department, the definition of in-scope cases is hereby broadened (see 6.A.2.). The Contractor shall report ALL trauma injury cases seen/treated in the emergency department, as described in the attached sheet entitled "Expanded National Electronic Injury Surveillance System (NEISS) Reporting Rule".

B. NEISS SUPPLEMENTAL/SPECIAL STUDY REPORTS

1. The Commission may enter into formalized agreements with other Federal agencies to collect and assemble information through the NEISS to carry out special inquiries on injuries that would be of particular interest to the other agency. In these instances, the definition of in-scope cases may be broadened and the Contractor shall code and transmit additional cases in accordance with additional coding instructions to be issued by the CPSC Contracting Officer Representative (COR).
2. Such additional cases shall contain the same data elements as required in Section 6.A., NEISS Surveillance Reports, but these reports may also require some additional data elements, e.g., symptoms, treatment, time of incident. The reporting of these additional data elements in a "2nd screen" will require an estimated 75% more time per case than NEISS Surveillance Reports.

C. ORIENTATION AND TRAINING

- a. CPSC will provide NEISS orientation and training to all involved Contractor personnel. CPSC will also provide technical instructions on case selection, coding, and reporting. The Contractor shall make available his/her personnel for basic training not to exceed 16 hours immediately after contract award and as personnel are replaced. This training will be provided at a site within the geographical area covered by the Contractor.
- b. The personnel responsible for coding and transmitting may be required to attend brief training seminars at a location other than their geographical area. Since these training seminars are designed to enhance the NEISS coder's reporting knowledge and skill, exemption from attendance will only be permitted for health or other significant reasons. Prior to such training seminars, the Contractor shall be notified in advance with specific details. CPSC will reimburse the Contractor for actual travel costs not to exceed those specified in the Federal Travel Regulations.

D. PERIODIC MEETINGS

The Contractor staff assigned to this contract shall arrange periodic meetings, at least quarterly, with hospital emergency department and other staff involved with the injury surveillance activity in order to promote effective injury reporting and awareness of product safety issues. Such meetings shall be planned and implemented in coordination with the hospital administration.

E. CONTRACTOR PERSONNEL

1. The Contractor shall be responsible for the continued and timely reporting of data as described in this document. Toward this end, the Contractor shall provide for back-up personnel to assume the function of NEISS reporting in the absence of the Contractor's regular designated personnel.

2. By performance of this agreement, the Contractor agrees that the Hospital has the right to approve or disapprove of the CPSC representative.

F. PERSONAL COMPUTER INSTALLATION

CPSC will provide the Contractor with an encrypted personal computer. If necessary, the Contractor shall arrange with local companies for the services or equipment specified by the CPSC Project Officer for connecting the computer to the internet. CPSC will reimburse the Contractor for the cost of installing or maintaining such services, if not already installed.

G. MONTHLY RECURRING COMMUNICATION CHARGES

The encrypted personal computer can be connected to existing internet service. If the Contractor and CPSC jointly agree that it is necessary to install a new service for this purpose, then CPSC will reimburse the Contractor for the actual monthly recurring charges.

H. SUPPLIES AND REPAIRS TO PERSONAL COMPUTER

- a. The Contractor shall contact CPSC for all necessary supplies and repairs to the personal computer. The Contractor will not be reimbursed for supplies and repairs acquired at the Contractor's own expense from private concerns unless the Contracting Officer approves such purchases or services in advance.
- b. If necessary, the Contractor may be required to package and ship the computer to a designated place for repairs. In such an event, CPSC will provide a replacement computer and pay for packaging materials and shipping costs at no expense to the Contractor.

7. PERIOD OF PERFORMANCE

Base plus option years as noted on form 1449

8. PERFORMANCE ASSESSMENTS, PERFORMANCE STANDARDS AND INCENTIVES

A. MINIMUM STANDARDS - The Contractor shall meet the following standards:

1. Average lag between treatment and collection date shall not exceed five (5) days. Adjustment may be made for record access delay if confirmed and acceptable to CPSC.
2. Percent of cases with error messages shall not exceed 5%.
3. All treatment dates shall be accounted for with adequate number of cases reported or message that no in-scope cases were found.

B. OUTSTANDING STANDARDS - Outstanding performance is defined as meeting all of the following standards (for cases reported) for each month:

1. Average lag between treatment and collection date does not exceed three (3) days. (Adjustment may be made for record access delay if confirmed and acceptable to CPSC.)

2. Percent of cases with error messages shall not exceed 3%.
 3. All treatment dates were accounted for with adequate number of cases reported or message that no in-scope cases were found.
- C. **INCENTIVES** - The Contractor will receive a bonus of 10 percent of the month's bill (for cases reported) for each month the Contractor has met all requirements for Outstanding Performance.
- D. Evaluation of performance will be made by CPSC within one month after the end of each quarter.

9. ACCEPTANCE OF DATA

- A. All data submitted to CPSC under this contract will be reviewed and edited by Commission personnel in the Division of Hazard and Injury Data Systems, Directorate for Epidemiology.
- B. Acceptance or rejection of data submitted shall be based on conformance with the NEISS Coding Manual or other coding instructions issued by CPSC, and the Performance Work Statement.
- C. Notice of approval/rejection will be transmitted by Commission personnel in the Division of Hazard and Injury Data Systems, Directorate for Epidemiology via the encrypted personal computer in the form of "NEISS Error Messages" to the Contractor. The Contractor shall correct and resubmit any rejected data to CPSC within three (3) working days after notice of rejection at no additional cost to the Government.

10. BILLING INSTRUCTIONS

- A. Pursuant to the Prompt Payment Act (P.L. 97-177) and the Prompt Payment Act Amendments of 1988 (P.L. 100-496) all Federal agencies are required to pay their bills on time, pay interest penalties when payments are made late, and to take discounts only when payments are made within the discount period. To assure compliance with the Act, vouchers and/or invoices shall be submitted on any acceptable invoice form which meets the criteria listed below. Examples of government vouchers that may be used are the Public Vouchers for Purchase and Services Other Than Personal, SF 1034, and Continuation Sheet, SF 1035. At a minimum, each invoice shall include:
1. The name and address of the business concern (and separate remittance address, if applicable).
 2. Do **NOT** include Taxpayer Identification Number (TIN) on invoices sent via e-mail.
 3. Invoice date.
 4. Invoice number.
 5. The contract or purchase order number (see Block 2 of OF1449 and Block 4 of SF1449 on page 1 of this order), or other authorization for delivery of goods or services.
 6. Description, price and quantity of goods or services actually delivered or rendered.
 7. Shipping cost terms (if applicable).
 8. Payment terms.

9. Other substantiating documentation or information as specified in the contract or purchase order.
10. Name, title, phone number, and mailing address of responsible official to be notified in the event of a deficient invoice.
11. Contractors are encouraged to use CPSC form 271A (02/07) found in the attachments. A copy of the invoice should be submitted electronically via e-mail to your NEISS representative at CPSC by using the first initial and last name of the NEISS representative @cpsc.gov (example: jdoe@cpsc.gov). This is a courtesy copy for CPSC records keeping only.

B. ORIGINAL VOUCHERS/INVOICES FOR PAYMENT SHALL BE SENT TO:

U.S. Mail

CPSC Accounts Payable Branch, AMZ-160
PO Box 25710
Oklahoma City, OK 73125

FEDEX

CPSC Accounts Payable Branch, AMZ-160
6500 MacArthur Blvd.
Oklahoma City, OK 73169

OR

Via e-mail to:

9-AMC-AMZ-CPSC-NEISS@faa.gov

Invoices not submitted in accordance with the above stated minimum requirements will not be processed for payment. Deficient invoices will be returned to the vendor within seven days or sooner. Standard forms 1034 and 1035 will be furnished by CPSC upon request of the Contractor.

Inquiries regarding payment should be directed to Enterprise Service Center (ESC), Office of Financial Operations, Federal Aviation Administration (FAA) in Oklahoma City, 405-954-7467.

C. PAYMENT

Payment will be made as close as possible to, but not later than, the 30th day after receipt of a proper invoice as defined in "Billing Instructions", except as follows:

When a time discount is taken, payment will be made as close as possible to, but not later than, the discount date. Discounts will be taken whenever economically justified. Otherwise, late payments will include interest penalty payments. Inquiries regarding payment should be directed to ESC at 405-954-6602 or at the U.S. Mail and Fedex addresses listed above.

Complaints related to the late payment of an invoice should be directed to Eldona Canterbury at the same address (above) or 405-954-5351.

Customer Service inquiries may be directed to Maggie Wade at MWade@cpsc.gov.

11. GOVERNMENT FURNISHED MATERIALS/EQUIPMENT

- A. The Government will furnish to the Contractor for use in connection with this contract the materials set forth below:

NEISS Coding Manual (January, 2015; revised annually)
NEISS Coding Sheets
Special Survey Instructions, as necessary
Additional Supplemental Surveillance Instructions, as necessary
Any revisions to the above materials
Personal encrypted computer

- B. All materials provided hereunder are for exclusive use in performance of this contract. Any such material not expended in performance of this contract shall be returned to CPSC upon completion of the contract.
- C. All other materials/equipment required in the performance of this contract, shall be furnished by the Contractor.
- D. The Contractor must ensure the physical security of the personal computer provided by the Government, including use of the lock provided.

12. LOCAL CLAUSES

LC 5 CONTRACTING OFFICER'S REPRESENTATION (COR) DESIGNATION

- a. The COR has been identified on page one of this contract.
- b. The CPSC COR is responsible for performing specific technical and administrative functions, including:
- (1) performing technical evaluation as required;
 - (2) assisting the Contractor in the resolution of technical problems encountered during performance; monitoring the Contractor's technical progress, including surveillance and assessment of performance, and notifying the Contracting Officer within one week when deliverables (including reports) are not received on schedule in accordance with the prescribed delivery schedule; and
 - (3) inspection and acceptance of all items required by the contract.
- c. The COR, who may be personally liable for unauthorized acts, is not authorized to and shall not:
- (1) make changes in scope of work, contract schedules, and/or specifications, or to make changes that affect price, quality, quantity or delivery,
 - (2) direct or negotiate any change in the terms, conditions, or amounts cited in the contract; and
 - (3) make commitments or changes that affect price, or take any action that commits the Government or could lead to a claim against the Government.
- d. This delegation is not redelegable and remains in effect during the period of performance of the contract.

e. A clear distinction is made between Government and Contractor personnel. No employer-employee relationship will occur between government employees and contractor employees. Contractor employees must report directly to their company (employer) and shall not report to Government personnel.

LC35 NOT TO EXCEED

This contract is issued on a "NOT TO EXCEED" basis because it is not possible to determine the exact quantities/services that will be required during performance of the contract. The total expended amount under the contract shall not exceed the grand total of the not to exceed amount indicated by the applicable line item, nor is the Contractor entitled to perform work and expect reimbursement beyond that amount, without approval of the Contracting Officer. The COR must provide the Contracting Officer with a revised quantity, "Not to Exceed" total, and funding to process a modification to the contract. The Contractor is not authorized to invoice and/or receive payment for additional work above the specified contract total without receipt of a formal, written modification to the contract.

13. SPECIAL CLAUSES

PRIVACY ACT

This contract does not require the Contractor to maintain a system of records as defined in the Privacy Act of 1974. More specifically, the Contractor is not required to, and agrees not to, maintain any system of records for or on behalf of the U.S. Consumer Product Safety Commission, in which any records or any personal data are indexed by, or retrieved by, a person's name, social security number, or any other unique identification.

SEAT BELT USE

In an effort to reduce deaths and injuries resulting from motor vehicle accidents, President Clinton issued Executive Order 13043 requiring the use of seat belts by federal employees while on official government business. The Executive Order also encourages federal contractors, subcontractors, and grantees to adopt and enforce on-the-job seat belt policies and programs for their employees when operating government-owned or leased vehicles, company-owned, rented, or personally-owned vehicles.

52.217-08 OPTION TO EXTEND SERVICES (Nov 1999)

The Government may require continued performance of any services at the rates specified in the contract. The option provision may be exercised more than once, but the total extension of performance hereunder shall not exceed 6 months. The Contracting Officer may exercise the option by written notice to the Contractor within 30 days before the contract is to expire.

52.217-09 OPTION TO EXTEND THE TERM OF THE CONTRACT (Mar 2000)

- (a) The Government may extend the term of this contract by written notice to the Contractor within fifteen (15) days; provided that the Government gives the Contractor a preliminary written notice of its intent to extend at least thirty (30) days before the contract

expires. The preliminary notice does not commit the Government to an extension.

- (b) If the Government exercises this option, the extended contract shall be considered to include this option clause.
- (c) The total duration of this contract, including the exercise of any options under this clause, shall not exceed 5 years.

52.232-18 AVAILABILITY OF FUNDS (Apr 1984)

The Government's obligation under this contract is contingent upon the availability of appropriated funds from which payment for contract purposes can be made. No legal liability on the part of the Government for any payment may arise until funds are made available to the Contracting Officer for this contract and until the Contractor receives notice of such availability, to be confirmed in writing by the Contracting Officer.

14. 52.204-7 System for Award Management (SAM) (Jul, 2013)

(a) Definitions. As used in this provision—

“Data Universal Numbering System (DUNS) number” means the 9-digit number assigned by Dun and Bradstreet, Inc. (D&B) to identify unique business entities.

“Data Universal Numbering System +4 (DUNS+4) number” means the DUNS number assigned by D&B plus a 4-character suffix that may be assigned by a business concern. (D&B has no affiliation with this 4-character suffix.) This 4-character suffix may be assigned at the discretion of the business concern to establish additional System for Award Management records for identifying alternative Electronic Funds Transfer (EFT) accounts (see the FAR at Subpart 32.11) for the same concern.

“Registered in the System for Award Management (SAM) database” means that—

- (1) The offeror has entered all mandatory information, including the DUNS number or the DUNS+4 number, the Contractor and Government Entity (CAGE) code, as well as data required by the Federal Funding Accountability and Transparency Act of 2006 (see Subpart 4.14) into the SAM database;
- (2) The offeror has completed the Core, Assertions, and Representations and Certifications, and Points of Contact sections of the registration in the SAM database;
- (3) The Government has validated all mandatory data fields, to include validation of the Taxpayer Identification Number (TIN) with the Internal Revenue Service (IRS). The offeror will be required to provide consent for TIN validation to the Government as a part of the SAM registration process; and
- (4) The Government has marked the record “Active”.

(b)(1) By submission of an offer, the offeror acknowledges the requirement that a prospective awardee shall be registered in the SAM database prior to award, during performance, and through final payment of any contract, basic agreement, basic ordering agreement, or blanket purchasing agreement resulting from this solicitation.

(2) The offeror shall enter, in the block with its name and address on the cover page of its offer, the annotation “DUNS” or “DUNS +4” followed by the DUNS or DUNS +4 number that identifies the offeror's name and address exactly as stated in the offer. The DUNS number will be used by the Contracting Officer to verify that the offeror is registered in the SAM database.

(c) If the offeror does not have a DUNS number, it should contact Dun and Bradstreet directly to obtain one.

- (1) An offeror may obtain a DUNS number—
 - (i) Via the Internet at <http://fedgov.dnb.com/webform> or if the offeror does not have internet access, it may call Dun and Bradstreet at 1-866-705-5711 if located within the United States; or
 - (ii) If located outside the United States, by contacting the local Dun and Bradstreet office. The offeror should indicate that it is an offeror for a U.S. Government contract when contacting the local Dun and Bradstreet office.
- (2) The offeror should be prepared to provide the following information:
 - (i) Company legal business.
 - (ii) Tradestyle, doing business, or other name by which your entity is commonly recognized.
 - (iii) Company Physical Street Address, City, State, and ZIP Code.
 - (iv) Company Mailing Address, City, State and ZIP Code (if separate from physical).
 - (v) Company Telephone Number.
 - (vi) Date the company was started.
 - (vii) Number of employees at your location.
 - (viii) Chief executive officer/key manager.
 - (ix) Line of business (industry).
 - (x) Company Headquarters name and address (reporting relationship within your entity).
- (d) If the Offeror does not become registered in the SAM database in the time prescribed by the Contracting Officer, the Contracting Officer will proceed to award to the next otherwise successful registered Offeror.
- (e) Processing time, which normally takes 48 hours, should be taken into consideration when registering. Offerors who are not registered should consider applying for registration immediately upon receipt of this solicitation.
- (f) Offerors may obtain information on registration at <https://www.acquisition.gov> .

15. 52.212-4 Contract Terms and Conditions—Commercial Items (May 2015)

(a) *Inspection/Acceptance.* The Contractor shall only tender for acceptance those items that conform to the requirements of this contract. The Government reserves the right to inspect or test any supplies or services that have been tendered for acceptance. The Government may require repair or replacement of nonconforming supplies or reperformance of nonconforming services at no increase in contract price. If repair/replacement or reperformance will not correct the defects or is not possible, the Government may seek an equitable price reduction or adequate consideration for acceptance of nonconforming supplies or services. The Government must exercise its post-acceptance rights—

- (1) Within a reasonable time after the defect was discovered or should have been discovered; and
- (2) Before any substantial change occurs in the condition of the item, unless the change is due to the defect in the item.

(b) *Assignment.* The Contractor or its assignee may assign its rights to receive payment due as a result of performance of this contract to a bank, trust company, or other financing institution, including any Federal lending agency in accordance with the Assignment of Claims Act (31 U.S.C. 3727). However, when a third party makes payment (*e.g.*, use of the Governmentwide commercial purchase card), the Contractor may not assign its rights to receive payment under this contract.

(c) *Changes.* Changes in the terms and conditions of this contract may be made only by written agreement of the parties.

(d) *Disputes*. This contract is subject to 41 U.S.C. chapter 71, Contract Disputes. Failure of the parties to this contract to reach agreement on any request for equitable adjustment, claim, appeal or action arising under or relating to this contract shall be a dispute to be resolved in accordance with the clause at FAR 52.233-1, Disputes, which is incorporated herein by reference. The Contractor shall proceed diligently with performance of this contract, pending final resolution of any dispute arising under the contract.

(e) *Definitions*. The clause at FAR 52.202-1, Definitions, is incorporated herein by reference.

(f) *Excusable delays*. The Contractor shall be liable for default unless nonperformance is caused by an occurrence beyond the reasonable control of the Contractor and without its fault or negligence such as, acts of God or the public enemy, acts of the Government in either its sovereign or contractual capacity, fires, floods, epidemics, quarantine restrictions, strikes, unusually severe weather, and delays of common carriers. The Contractor shall notify the Contracting Officer in writing as soon as it is reasonably possible after the commencement of any excusable delay, setting forth the full particulars in connection therewith, shall remedy such occurrence with all reasonable dispatch, and shall promptly give written notice to the Contracting Officer of the cessation of such occurrence.

(g) Invoice.

(1) The Contractor shall submit an original invoice and three copies (or electronic invoice, if authorized) to the address designated in the contract to receive invoices. An invoice must include—

(i) Name and address of the Contractor;

(ii) Invoice date and number;

(iii) Contract number, contract line item number and, if applicable, the order number;

(iv) Description, quantity, unit of measure, unit price and extended price of the items delivered;

(v) Shipping number and date of shipment, including the bill of lading number and weight of shipment if shipped on Government bill of lading;

(vi) Terms of any discount for prompt payment offered;

(vii) Name and address of official to whom payment is to be sent;

(viii) Name, title, and phone number of person to notify in event of defective invoice; and

(ix) Taxpayer Identification Number (TIN). The Contractor shall include its TIN on the invoice only if required elsewhere in this contract.

(x) Electronic funds transfer (EFT) banking information.

(A) The Contractor shall include EFT banking information on the invoice only if required elsewhere in this contract.

(B) If EFT banking information is not required to be on the invoice, in order for the invoice to be a proper invoice, the Contractor shall have submitted correct EFT banking information in accordance

with the applicable solicitation provision, contract clause (e.g., 52.232-33, Payment by Electronic Funds Transfer—System for Award Management, or 52.232-34, Payment by Electronic Funds Transfer—Other Than System for Award Management), or applicable agency procedures.

(C) EFT banking information is not required if the Government waived the requirement to pay by EFT.

(2) Invoices will be handled in accordance with the Prompt Payment Act (31 U.S.C. 3903) and Office of Management and Budget (OMB) prompt payment regulations at 5 CFR Part 1315.

(h) *Patent indemnity.* The Contractor shall indemnify the Government and its officers, employees and agents against liability, including costs, for actual or alleged direct or contributory infringement of, or inducement to infringe, any United States or foreign patent, trademark or copyright, arising out of the performance of this contract, provided the Contractor is reasonably notified of such claims and proceedings.

(i) Payment.—

(1) *Items accepted.* Payment shall be made for items accepted by the Government that have been delivered to the delivery destinations set forth in this contract.

(2) *Prompt payment.* The Government will make payment in accordance with the Prompt Payment Act (31 U.S.C. 3903) and prompt payment regulations at 5 CFR Part 1315.

(3) *Electronic Funds Transfer (EFT).* If the Government makes payment by EFT, see 52.212-5(b) for the appropriate EFT clause.

(4) *Discount.* In connection with any discount offered for early payment, time shall be computed from the date of the invoice. For the purpose of computing the discount earned, payment shall be considered to have been made on the date which appears on the payment check or the specified payment date if an electronic funds transfer payment is made.

(5) *Overpayments.* If the Contractor becomes aware of a duplicate contract financing or invoice payment or that the Government has otherwise overpaid on a contract financing or invoice payment, the Contractor shall—

(i) Remit the overpayment amount to the payment office cited in the contract along with a description of the overpayment including the—

(A) Circumstances of the overpayment (e.g., duplicate payment, erroneous payment, liquidation errors, date(s) of overpayment);

(B) Affected contract number and delivery order number, if applicable;

(C) Affected contract line item or subline item, if applicable; and

(D) Contractor point of contact.

(ii) Provide a copy of the remittance and supporting documentation to the Contracting Officer.

(6) *Interest.*

(i) All amounts that become payable by the Contractor to the Government under this contract shall bear simple interest from the date due until paid unless paid within 30 days of becoming due. The interest rate shall be the interest rate established by the Secretary of the Treasury as provided in 41 U.S.C. 7109 , which is applicable to the period in which the amount becomes due, as provided in (i)(6)(v) of this clause, and then at the rate applicable for each six-month period as fixed by the Secretary until the amount is paid.

(ii) The Government may issue a demand for payment to the Contractor upon finding a debt is due under the contract.

(iii) *Final decisions.* The Contracting Officer will issue a final decision as required by 33.211 if—

(A) The Contracting Officer and the Contractor are unable to reach agreement on the existence or amount of a debt within 30 days;

(B) The Contractor fails to liquidate a debt previously demanded by the Contracting Officer within the timeline specified in the demand for payment unless the amounts were not repaid because the Contractor has requested an installment payment agreement; or

(C) The Contractor requests a deferment of collection on a debt previously demanded by the Contracting Officer (see 32.607-2).

(iv) If a demand for payment was previously issued for the debt, the demand for payment included in the final decision shall identify the same due date as the original demand for payment.

(v) Amounts shall be due at the earliest of the following dates:

(A) The date fixed under this contract.

(B) The date of the first written demand for payment, including any demand for payment resulting from a default termination.

(vi) The interest charge shall be computed for the actual number of calendar days involved beginning on the due date and ending on—

(A) The date on which the designated office receives payment from the Contractor;

(B) The date of issuance of a Government check to the Contractor from which an amount otherwise payable has been withheld as a credit against the contract debt; or

(C) The date on which an amount withheld and applied to the contract debt would otherwise have become payable to the Contractor.

(vii) The interest charge made under this clause may be reduced under the procedures prescribed in 32.608-2 of the Federal Acquisition Regulation in effect on the date of this contract.

(j) *Risk of loss.* Unless the contract specifically provides otherwise, risk of loss or damage to the supplies provided under this contract shall remain with the Contractor until, and shall pass to the Government upon:

(1) Delivery of the supplies to a carrier, if transportation is f.o.b. origin; or

(2) Delivery of the supplies to the Government at the destination specified in the contract, if transportation is f.o.b. destination.

(k) *Taxes.* The contract price includes all applicable Federal, State, and local taxes and duties.

(l) *Termination for the Government's convenience.* The Government reserves the right to terminate this contract, or any part hereof, for its sole convenience. In the event of such termination, the Contractor shall immediately stop all work hereunder and shall immediately cause any and all of its suppliers and subcontractors to cease work. Subject to the terms of this contract, the Contractor shall be paid a percentage of the contract price reflecting the percentage of the work performed prior to the notice of termination, plus reasonable charges the Contractor can demonstrate to the satisfaction of the Government using its standard record keeping system, have resulted from the termination. The Contractor shall not be required to comply with the cost accounting standards or contract cost principles for this purpose. This paragraph does not give the Government any right to audit the Contractor's records. The Contractor shall not be paid for any work performed or costs incurred which reasonably could have been avoided.

(m) *Termination for cause.* The Government may terminate this contract, or any part hereof, for cause in the event of any default by the Contractor, or if the Contractor fails to comply with any contract terms and conditions, or fails to provide the Government, upon request, with adequate assurances of future performance. In the event of termination for cause, the Government shall not be liable to the Contractor for any amount for supplies or services not accepted, and the Contractor shall be liable to the Government for any and all rights and remedies provided by law. If it is determined that the Government improperly terminated this contract for default, such termination shall be deemed a termination for convenience.

(n) *Title.* Unless specified elsewhere in this contract, title to items furnished under this contract shall pass to the Government upon acceptance, regardless of when or where the Government takes physical possession.

(o) *Warranty.* The Contractor warrants and implies that the items delivered hereunder are merchantable and fit for use for the particular purpose described in this contract.

(p) *Limitation of liability.* Except as otherwise provided by an express warranty, the Contractor will not be liable to the Government for consequential damages resulting from any defect or deficiencies in accepted items.

(q) *Other compliances.* The Contractor shall comply with all applicable Federal, State and local laws, executive orders, rules and regulations applicable to its performance under this contract.

(r) *Compliance with laws unique to Government contracts.* The Contractor agrees to comply with 31 U.S.C. 1352 relating to limitations on the use of appropriated funds to influence certain Federal contracts; 18 U.S.C. 431 relating to officials not to benefit; 40 U.S.C. chapter 37, Contract Work Hours and Safety Standards; 41 U.S.C. chapter 87, Kickbacks; 41 U.S.C. 4712 and 10 U.S.C. 2409 relating to whistleblower protections; 49 U.S.C. 40118, Fly American; and 41 U.S.C. chapter 21 relating to procurement integrity.

(s) *Order of precedence.* Any inconsistencies in this solicitation or contract shall be resolved by giving precedence in the following order:

- (1) The schedule of supplies/services.
- (2) The Assignments, Disputes, Payments, Invoice, Other Compliances, Compliance with Laws Unique to Government Contracts, and Unauthorized Obligations paragraphs of this clause;
- (3) The clause at 52.212-5.
- (4) Addenda to this solicitation or contract, including any license agreements for computer software.
- (5) Solicitation provisions if this is a solicitation.
- (6) Other paragraphs of this clause.
- (7) The Standard Form 1449.
- (8) Other documents, exhibits, and attachments.
- (9) The specification.
- (t) System for Award Management (SAM).

(1) Unless exempted by an addendum to this contract, the Contractor is responsible during performance and through final payment of any contract for the accuracy and completeness of the data within the SAM database, and for any liability resulting from the Government's reliance on inaccurate or incomplete data. To remain registered in the SAM database after the initial registration, the Contractor is required to review and update on an annual basis from the date of initial registration or subsequent updates its information in the SAM database to ensure it is current, accurate and complete. Updating information in the SAM does not alter the terms and conditions of this contract and is not a substitute for a properly executed contractual document.

(2)(i) If a Contractor has legally changed its business name, "doing business as" name, or division name (whichever is shown on the contract), or has transferred the assets used in performing the contract, but has not completed the necessary requirements regarding novation and change-of-name agreements in FAR Subpart 42.12, the Contractor shall provide the responsible Contracting Officer a minimum of one business day's written notification of its intention to (A) change the name in the SAM database; (B) comply with the requirements of Subpart 42.12; and (C) agree in writing to the timeline and procedures specified by the responsible Contracting Officer. The Contractor must provide with the notification sufficient documentation to support the legally changed name.

(ii) If the Contractor fails to comply with the requirements of paragraph (t)(2)(i) of this clause, or fails to perform the agreement at paragraph (t)(2)(i)(C) of this clause, and, in the absence of a properly executed novation or change-of-name agreement, the SAM information that shows the Contractor to be other than the Contractor indicated in the contract will be considered to be incorrect information within the meaning of the "Suspension of Payment" paragraph of the electronic funds transfer (EFT) clause of this contract.

(3) The Contractor shall not change the name or address for EFT payments or manual payments, as appropriate, in the SAM record to reflect an assignee for the purpose of assignment of claims (see Subpart 32.8, Assignment of Claims). Assignees shall be separately registered in the SAM

database. Information provided to the Contractor's SAM record that indicates payments, including those made by EFT, to an ultimate recipient other than that Contractor will be considered to be incorrect information within the meaning of the "Suspension of payment" paragraph of the EFT clause of this contract.

(4) Offerors and Contractors may obtain information on registration and annual confirmation requirements via SAM accessed through <https://www.acquisition.gov>.

(u) Unauthorized Obligations

(1) Except as stated in paragraph (u)(2) of this clause, when any supply or service acquired under this contract is subject to any End User License Agreement (EULA), Terms of Service (TOS), or similar legal instrument or agreement, that includes any clause requiring the Government to indemnify the Contractor or any person or entity for damages, costs, fees, or any other loss or liability that would create an Anti-Deficiency Act violation (31 U.S.C. 1341), the following shall govern:

(i) Any such clause is unenforceable against the Government.

(ii) Neither the Government nor any Government authorized end user shall be deemed to have agreed to such clause by virtue of it appearing in the EULA, TOS, or similar legal instrument or agreement. If the EULA, TOS, or similar legal instrument or agreement is invoked through an "I agree" click box or other comparable mechanism (e.g., "click-wrap" or "browse-wrap" agreements), execution does not bind the Government or any Government authorized end user to such clause.

(iii) Any such clause is deemed to be stricken from the EULA, TOS, or similar legal instrument or agreement.

(2) Paragraph (u)(1) of this clause does not apply to indemnification by the Government that is expressly authorized by statute and specifically authorized under applicable agency regulations and procedures.

(v) Incorporation by reference. The Contractor's representations and certifications, including those completed electronically via the System for Award Management (SAM), are incorporated by reference into the contract.

(End of Clause)

15. 52.212-5 -- Contract Terms and Conditions Required to Implement Statutes or Executive Orders -- Commercial Items (Mar 2016)

(a) The Contractor shall comply with the following Federal Acquisition Regulation (FAR) clauses, which are incorporated in this contract by reference, to implement provisions of law or Executive orders applicable to acquisitions of commercial items:

(1) 52.209-10, Prohibition on Contracting with Inverted Domestic Corporations (Nov 2015)

(2) 52.233-3, Protest After Award (AUG 1996) (31 U.S.C. 3553).

(3) 52.233-4, Applicable Law for Breach of Contract Claim (OCT 2004) (Public Laws 108-77, 108-78 (19 U.S.C. 3805 note)).

(b) The Contractor shall comply with the FAR clauses in this paragraph (b) that the contracting officer has indicated as being incorporated in this contract by reference to implement provisions of law or Executive orders applicable to acquisitions of commercial items:

[Contracting Officer check as appropriate.]

___ (1) 52.203-6, Restrictions on Subcontractor Sales to the Government (Sept 2006), with Alternate I (Oct 1995) (41 U.S.C. 4704 and 10 U.S.C. 2402).

___ (2) 52.203-13, Contractor Code of Business Ethics and Conduct (Oct 2015) (41 U.S.C. 3509).

___ (3) 52.203-15, Whistleblower Protections under the American Recovery and Reinvestment Act of 2009 (Jun 2010) (Section 1553 of Pub L. 111-5) (Applies to contracts funded by the American Recovery and Reinvestment Act of 2009).

X (4) 52.204-10, Reporting Executive compensation and First-Tier Subcontract Awards (Oct 2015) (Pub. L. 109-282) (31 U.S.C. 6101 note).

___ (5) [Reserved]

___ (6) 52.204-14, Service Contract Reporting Requirements (Jan 2014) (Pub. L. 111-117, section 743 of Div. C).

___ (7) 52.204-15, Service Contract Reporting Requirements for Indefinite-Delivery Contracts (Jan 2014) (Pub. L. 111-117, section 743 of Div. C).

___ (8) 52.209-6, Protecting the Government's Interest When Subcontracting with Contractors Debarred, Suspended, or Proposed for Debarment (Oct 2015) (31 U.S.C. 6101 note).

___ (9) 52.209-9, Updates of Publicly Available Information Regarding Responsibility Matters (Jul 2013) (41 U.S.C. 2313).

___ (10) [Reserved]

___ (11) (i) 52.219-3, Notice of HUBZone Set-Aside or Sole-Source Award (Nov 2011) (15 U.S.C. 657a).

___ (ii) Alternate I (Nov 2011) of 52.219-3.

___ (12) (i) 52.219-4, Notice of Price Evaluation Preference for HUBZone Small Business Concerns (Oct 2014) (if the offeror elects to waive the preference, it shall so indicate in its offer)(15 U.S.C. 657a).

___ (ii) Alternate I (Jan 2011) of 52.219-4.

___ (13) [Reserved]

- ___ (14) (i) 52.219-6, Notice of Total Small Business Aside (Nov 2011) (15 U.S.C. 644).
___ (ii) Alternate I (Nov 2011).
___ (iii) Alternate II (Nov 2011).
- ___ (15) (i) 52.219-7, Notice of Partial Small Business Set-Aside (June 2003) (15 U.S.C. 644).
___ (ii) Alternate I (Oct 1995) of 52.219-7.
___ (iii) Alternate II (Mar 2004) of 52.219-7.
- ___ (16) 52.219-8, Utilization of Small Business Concerns (Oct 2014) (15 U.S.C. 637(d)(2) and (3)).
- ___ (17) (i) 52.219-9, Small Business Subcontracting Plan (Oct 2015) (15 U.S.C. 637 (d)(4)).
___ (ii) Alternate I (Oct 2001) of 52.219-9.
___ (iii) Alternate II (Oct 2001) of 52.219-9.
___ (iv) Alternate III (Oct 2015) of 52.219-9.
- ___ (18) 52.219-13, Notice of Set-Aside of Orders (Nov 2011) (15 U.S.C. 644(r)).
- ___ (19) 52.219-14, Limitations on Subcontracting (Nov 2011) (15 U.S.C. 637(a)(14)).
- ___ (20) 52.219-16, Liquidated Damages—Subcontracting Plan (Jan 1999) (15 U.S.C. 637(d)(4)(F)(i)).
- ___ (21) 52.219-27, Notice of Service-Disabled Veteran-Owned Small Business Set-Aside (Nov 2011) (15 U.S.C. 657f).
- ___ (22) 52.219-28, Post Award Small Business Program Rerepresentation (Jul 2013) (15 U.S.C. 632(a)(2)).
- ___ (23) 52.219-29, Notice of Set-Aside for, or Sole Source Award to, Economically Disadvantaged Women-Owned Small Business Concerns (Dec 2015) (15 U.S.C. 637(m)).
- ___ (24) 52.219-30, Notice of Set-Aside for, or Sole Source Award to, Women-Owned Small Business Concerns Eligible Under the Women-Owned Small Business Program (Dec 2015) (15 U.S.C. 637(m)).
- _X_ (25) 52.222-3, Convict Labor (June 2003) (E.O. 11755).
- ___ (26) 52.222-19, Child Labor—Cooperation with Authorities and Remedies (Feb 2016) (E.O. 13126).
- _X_ (27) 52.222-21, Prohibition of Segregated Facilities (Apr 2015).

- (28) 52.222-26, Equal Opportunity (Apr 2015) (E.O. 11246).
- (29) 52.222-35, Equal Opportunity for Veterans (Oct 2015) (38 U.S.C. 4212).
- (30) 52.222-36, Equal Opportunity for Workers with Disabilities (Jul 2014) (29 U.S.C. 793).
- (31) 52.222-37, Employment Reports on Veterans (Feb 2016) (38 U.S.C. 4212).
- (32) 52.222-40, Notification of Employee Rights Under the National Labor Relations Act (Dec 2010) (E.O. 13496).
- (33) (i) 52.222-50, Combating Trafficking in Persons (Mar 2015) (22 U.S.C. chapter 78 and E.O. 13627).
- (ii) Alternate I (Mar 2015) of 52.222-50, (22 U.S.C. chapter 78 and E.O. 13627).
- (34) 52.222-54, Employment Eligibility Verification (Oct 2015). (E. O. 12989). (Not applicable to the acquisition of commercially available off-the-shelf items or certain other types of commercial items as prescribed in 22.1803.)
- (35) (i) 52.223-9, Estimate of Percentage of Recovered Material Content for EPA-Designated Items (May 2008) (42 U.S.C. 6962(c)(3)(A)(ii)). (Not applicable to the acquisition of commercially available off-the-shelf items.)
- (ii) Alternate I (May 2008) of 52.223-9 (42 U.S.C. 6962(i)(2)(C)). (Not applicable to the acquisition of commercially available off-the-shelf items.)
- (36) (i) 52.223-13, Acquisition of EPEAT® -Registered Imaging Equipment (Jun 2014) (E.O.s 13423 and 13514)
- (ii) Alternate I (Oct 2015) of 52.223-13.
- (37) (i) 52.223-14, Acquisition of EPEAT® -Registered Television (Jun 2014) (E.O.s 13423 and 13514).
- (ii) Alternate I (Jun 2014) of 52.223-14.
- (38) 52.223-15, Energy Efficiency in Energy-Consuming Products (Dec 2007) (42 U.S.C. 8259b).
- (39) (i) 52.223-16, Acquisition of EPEAT® -Registered Personal Computer Products (Oct 2015) (E.O.s 13423 and 13514).
- (ii) Alternate I (Jun 2014) of 52.223-16.
- (40) 52.223-18, Encouraging Contractor Policies to Ban Text Messaging while Driving (Aug 2011) (E.O. 13513).
- (41) 52.225-1, Buy American--Supplies (May 2014) (41 U.S.C. chapter 83).

___ (42) (i) 52.225-3, Buy American--Free Trade Agreements--Israeli Trade Act (May 2014) (41 U.S.C. chapter 83, 19 U.S.C. 3301 note, 19 U.S.C. 2112 note, 19 U.S.C. 3805 note, 19 U.S.C. 4001 note, Pub. L. 103-182, 108-77, 108-78, 108-286, 108-302, 109-53, 109-169, 109-283, 110-138, 112-41, 112-42, and 112-43).

___ (ii) Alternate I (May 2014) of 52.225-3.

___ (iii) Alternate II (May 2014) of 52.225-3.

___ (iv) Alternate III (May 2014) of 52.225-3.

___ (43) 52.225-5, Trade Agreements (Feb 2016) (19 U.S.C. 2501, *et seq.*, 19 U.S.C. 3301 note).

___ (44) 52.225-13, Restrictions on Certain Foreign Purchases (Jun 2008) (E.O.'s, proclamations, and statutes administered by the Office of Foreign Assets Control of the Department of the Treasury).

___ (45) 52.225-26, Contractors Performing Private Security Functions Outside the United States (Jul 2013) (Section 862, as amended, of the National Defense Authorization Act for Fiscal Year 2008; 10 U.S.C. 2302 Note).

___ (46) 52.226-4, Notice of Disaster or Emergency Area Set-Aside (Nov 2007) (42 U.S.C. 5150).

___ (47) 52.226-5, Restrictions on Subcontracting Outside Disaster or Emergency Area (Nov 2007) (42 U.S.C. 5150).

___ (48) 52.232-29, Terms for Financing of Purchases of Commercial Items (Feb 2002) (41 U.S.C. 4505), 10 U.S.C. 2307(f)).

___ (49) 52.232-30, Installment Payments for Commercial Items (Oct 1995) (41 U.S.C. 4505, 10 U.S.C. 2307(f)).

X (50) 52.232-33, Payment by Electronic Funds Transfer— System for Award Management (Jul 2013) (31 U.S.C. 3332).

___ (51) 52.232-34, Payment by Electronic Funds Transfer—Other Than System for Award Management (Jul 2013) (31 U.S.C. 3332).

___ (52) 52.232-36, Payment by Third Party (May 2014) (31 U.S.C. 3332).

___ (53) 52.239-1, Privacy or Security Safeguards (Aug 1996) (5 U.S.C. 552a).

___ (54) (i) 52.247-64, Preference for Privately Owned U.S.-Flag Commercial Vessels (Feb 2006) (46 U.S.C. Appx 1241(b) and 10 U.S.C. 2631).

___ (ii) Alternate I (Apr 2003) of 52.247-64.

(c) The Contractor shall comply with the FAR clauses in this paragraph (c), applicable to commercial services, that the Contracting Officer has indicated as being incorporated in this

contract by reference to implement provisions of law or executive orders applicable to acquisitions of commercial items:

[Contracting Officer check as appropriate.]

- ___ (1) 52.222-17, Nondisplacement of Qualified Workers (May 2014) (E.O. 13495)
- ___ (2) 52.222-41, Service Contract Labor Standards (May 2014) (41 U.S.C. chapter 67).
- ___ (3) 52.222-42, Statement of Equivalent Rates for Federal Hires (May 2014) (29 U.S.C. 206 and 41 U.S.C. chapter 67).
- ___ (4) 52.222-43, Fair Labor Standards Act and Service Contract Labor Standards -- Price Adjustment (Multiple Year and Option Contracts) (May 2014) (29 U.S.C.206 and 41 U.S.C. chapter 67).
- ___ (5) 52.222-44, Fair Labor Standards Act and Service Contract Labor Standards -- Price Adjustment (May 2014) (29 U.S.C. 206 and 41 U.S.C. chapter 67).
- ___ (6) 52.222-51, Exemption from Application of the Service Contract Labor Standards to Contracts for Maintenance, Calibration, or Repair of Certain Equipment--Requirements (May 2014) (41 U.S.C. chapter 67).
- ___ (7) 52.222-53, Exemption from Application of the Service Contract Labor Standards to Contracts for Certain Services--Requirements (May 2014) (41 U.S.C. chapter 67).
- ___ (8) 52.222-55, Minimum Wages Under Executive Order 13658 (Dec 2015) (E.O. 13658).
- ___ (9) 52.226-6, Promoting Excess Food Donation to Nonprofit Organizations. (May 2014) (42 U.S.C. 1792).
- ___ (10) 52.237-11, Accepting and Dispensing of \$1 Coin (Sep 2008) (31 U.S.C. 5112(p)(1)).

(d) *Comptroller General Examination of Record* The Contractor shall comply with the provisions of this paragraph (d) if this contract was awarded using other than sealed bid, is in excess of the simplified acquisition threshold, and does not contain the clause at 52.215-2, Audit and Records -- Negotiation.

(1) The Comptroller General of the United States, or an authorized representative of the Comptroller General, shall have access to and right to examine any of the Contractor's directly pertinent records involving transactions related to this contract.

(2) The Contractor shall make available at its offices at all reasonable times the records, materials, and other evidence for examination, audit, or reproduction, until 3 years after final payment under this contract or for any shorter period specified in FAR Subpart 4.7, Contractor Records Retention, of the other clauses of this contract. If this contract is completely or partially terminated, the records relating to the work terminated shall be made available for 3 years after any resulting final termination settlement. Records relating to

appeals under the disputes clause or to litigation or the settlement of claims arising under or relating to this contract shall be made available until such appeals, litigation, or claims are finally resolved.

(3) As used in this clause, records include books, documents, accounting procedures and practices, and other data, regardless of type and regardless of form. This does not require the Contractor to create or maintain any record that the Contractor does not maintain in the ordinary course of business or pursuant to a provision of law.

(e) (1) Notwithstanding the requirements of the clauses in paragraphs (a), (b), (c) and (d) of this clause, the Contractor is not required to flow down any FAR clause, other than those in this paragraph (e)(1) in a subcontract for commercial items. Unless otherwise indicated below, the extent of the flow down shall be as required by the clause—

(i) 52.203-13, Contractor Code of Business Ethics and Conduct (Oct 2015) (41 U.S.C. 3509).

(ii) 52.219-8, Utilization of Small Business Concerns (Oct 2014) (15 U.S.C. 637(d)(2) and (3)), in all subcontracts that offer further subcontracting opportunities. If the subcontract (except subcontracts to small business concerns) exceeds \$700,000 (\$1.5 million for construction of any public facility), the subcontractor must include 52.219-8 in lower tier subcontracts that offer subcontracting opportunities.

(iii) 52.222-17, Nondisplacement of Qualified Workers (May 2014) (E.O. 13495). Flow down required in accordance with paragraph (1) of FAR clause 52.222-17.

(iv) 52.222-21, Prohibition of Segregated Facilities (Apr 2015).

(v) 52.222-26, Equal Opportunity (Apr 2015) (E.O. 11246).

(vi) 52.222-35, Equal Opportunity for Veterans (Oct 2015) (38 U.S.C. 4212).

(vii) 52.222-36, Equal Opportunity for Workers with Disabilities (Jul 2014) (29 U.S.C. 793).

(viii) 52.222-37, Employment Reports on Veterans (Feb 2016) (38 U.S.C. 4212).

(ix) 52.222-40, Notification of Employee Rights Under the National Labor Relations Act (Dec 2010) (E.O. 13496). Flow down required in accordance with paragraph (f) of FAR clause 52.222-40.

(x) 52.222-41, Service Contract Labor Standards (May 2014), (41 U.S.C. chapter 67).

(xi) ____ (A) 52.222-50, Combating Trafficking in Persons (Mar 2015) (22 U.S.C. chapter 78 and E.O. 13627).

____ (B) Alternate I (Mar 2015) of 52.222-50 (22 U.S.C. chapter 78 E.O. 13627).

(xii) 52.222-51, Exemption from Application of the Service Contract Labor Standards to Contracts for Maintenance, Calibration, or Repair of Certain Equipment--Requirements (May 2014) (41 U.S.C. chapter 67.)

(xiii) 52.222-53, Exemption from Application of the Service Contract Labor Standards to Contracts for Certain Services--Requirements (May 2014) (41 U.S.C. chapter 67)

(xiv) 52.222-54, Employment Eligibility Verification (Oct 2015) (E. O. 12989).

(xv) 52.222-55, Minimum Wages Under Executive Order 13658 (Dec 2015).

(xvi) 52.225-26, Contractors Performing Private Security Functions Outside the United States (Jul 2013) (Section 862, as amended, of the National Defense Authorization Act for Fiscal Year 2008; 10 U.S.C. 2302 Note).

(xvii) 52.226-6, Promoting Excess Food Donation to Nonprofit Organizations. (May 2014) (42 U.S.C. 1792). Flow down required in accordance with paragraph (e) of FAR clause 52.226-6.

(xviii) 52.247-64, Preference for Privately-Owned U.S. Flag Commercial Vessels (Feb 2006) (46 U.S.C. Appx 1241(b) and 10 U.S.C. 2631). Flow down required in accordance with paragraph (d) of FAR clause 52.247-64.

(2) While not required, the Contractor may include in its subcontracts for commercial items a minimal number of additional clauses necessary to satisfy its contractual obligations.

(End of Clause)

16. ATTACHMENTS:

A. Statement of Work Addendum and Exhibit A

B. Expanded National Electronic Injury Surveillance System

STATEMENT OF WORK ADDENDUM

This STATEMENT OF WORK ADDENDUM (“Addendum”) is effective **March 15, 2016** (“Effective Date”), by and between **Consumer Product Safety Commission** (“CPSC”) and SSM-SLUH, Inc., a Missouri nonprofit corporation, d/b/a SSM Health Saint Louis University Hospital (“Contractor”).

WHEREAS, CPSC and Contractor shall enter into a Statement of Work (“Agreement”) simultaneously with this Addendum; and

WHEREAS, CPSC and Contractor intend that the terms of this Addendum be incorporated into the Agreement.

THEREFORE, it is understood and agreed upon by the parties as follows:

1. The following is added as Section 15:

This Agreement may be terminated by either party for any reason upon sixty (60) days prior written notice to the other.

2. The following is added as Section 16:

Representation and Warranty. Each party represents and warrants to the other party that it, its owners, employees, agents and any subcontractors (collectively “Personnel”) are not: (i) listed on the System for Award Management website (“sam.gov”) with an active exclusion; or (ii) suspended or excluded from participation in any federal health care programs, as defined under 42.U.S.C. § 1320a-7b(f), any form of state Medicaid program, and are not listed on the Office of the Inspector General’s website (“oig.hhs.gov”) (collectively, “Government Payor Programs”). Each party also represents and warrants that to the best of its knowledge there are no pending or threatened governmental investigations that may lead to suspension or exclusion of that party or its Personnel from Government Payor Programs or may be cause for listing on sam.gov or oig.hhs.gov (collectively, an “Investigation”). Each party shall notify the other party of the commencement of any Investigation or suspension or exclusion from Government Payor Programs within three (3) business days of its first learning of it. Either party shall have the right to immediately terminate this Agreement upon learning of any such Investigation, suspension or exclusion. Each party shall be timely kept apprised by the other party of the status of any such Investigation.

3. The following is added as Section 17:

Counterparts, Facsimile, or Electronic Signature. This agreement may be signed in one or more counterparts including via facsimile or email, or by electronic signature in accordance with applicable law, all of which shall be considered one and the same agreement, binding on all parties hereto, notwithstanding that both parties are not signatories to the same counterpart. A signed facsimile or photocopy of this agreement shall be binding on the parties to this agreement.

4. The following is added as Section 18:

Medicare Access to Books and Records. In the event, and only in the event, that Section 952 of P.L. 96-499 (42 U.S.C. Section 1395x(v)(1)) is applicable to this agreement, each party agrees as follows: (a) until the expiration of four (4) years after the furnishing of such services

pursuant to this agreement, each party shall make available, upon written request of the Secretary of the U.S. Department of Health and Human Services or upon request of the Comptroller General of the United States, or any of his/her duly authorized representatives, this agreement, and books, documents and records of that party that are necessary to certify the nature of the duties of this agreement; and (b) if a party performs its services hereunder through a subcontract with a related organization, with a value or cost of Ten Thousand Dollars (\$10,000.00) or more over a twelve-month period, then any such subcontract shall contain a clause to the effect that until the expiration of four (4) years after the furnishing of such services pursuant to such subcontract, the related organization shall make available, upon written request of the Secretary of the U.S. Department of Health and Human Services or upon request of the Comptroller General of the United States, or any of his/her duly authorized representatives, the subcontract, and books, documents and records of such organization that are necessary to verify the nature and extent of the cost of services provided pursuant to such subcontract.

5. The following is added as Section 19:

Confidentiality. During the term of this Agreement and thereafter, both parties and their employees and representatives shall hold information in the strictest confidence except as otherwise required by this Agreement or by federal or state law, including but not limited to patient records and peer review and utilization review documents; the terms of this Agreement (except that SSM may disclose pricing terms to its group purchasing organization(s) and others provided such recipients agree to keep the information confidential); and the finances, earnings, volume of business, systems, practices, plans, contracts, and similar information of each party. Each party agrees to abide by and comply with the terms of the NEISS Data Security Plan, attached hereto as Exhibit A, to protect the confidentiality of the other party's information."

6. The following is added as Section 20:

Equal Employment Opportunity. Contractor is an equal opportunity employer. As part of its affirmative action policies and obligations, Contractor is subject to and will comply with the provisions governing federal contractors as set forth in 41 CFR 60-1.4(a) and 41 CFR 60-741.5(a), and these regulations are hereby incorporated into this contract by reference.

7. The following is added as Section 21:

Notice: Any notice or communication required or permitted to be given under this Agreement shall be served personally, sent by United States certified mail or sent by email to the following address:

If to Contractor: SSM Health
 Attn: Contracts
 10101 Woodfield Lane
 St. Louis, MO 63132
 Email: ContractNotices@ssmhc.com

If to CPSC: Consumer Product Safety Commission
 Attn: Randolph Mitchell, General Communication, Rm. 570
 Attn: Dodie Kessler, Contract Issues, Room 523
 4330 East West Hwy,
 Bethesda, MD 20814

Email: rmitchell@cpsc.gov
dkessler@cpsc.gov

Any change to the notice address listed above must be given to the other party in the same manner as described in this section. The date of notice shall be the date of delivery if the notice is personally delivered, the date of mailing if the notice is sent by United States certified mail or the date of transmission if the notice is sent by email. Each party agrees to maintain evidence of the respective notice method utilized.

All other terms of the Agreement shall remain in full force and effect. If the terms of the Agreement in any way conflict with or are otherwise inconsistent with the terms of this Addendum, the Agreement shall govern and control.

IN WITNESS WHEREOF, each person signing below represents and warrants that he or she is fully authorized to sign and deliver this Addendum in the capacity set forth beneath his or her signature and the parties hereto have signed this Addendum as of the date and year written below.

CPSC:

Contractor:

Consumer Product Safety Commission

SSM-SLUH, Inc., d/b/a
SSM Health Saint Louis University Hospital

By: *Greg A. Grayson*
Name: Greg A. Grayson
Title: Contracting Officer
Address: 4330 East West Hwy, Room 523
Bethesda, MD 20814
Email: ggrayson@cpsc.gov

By: *Kate Becker*
Name: Kate Becker
Title: President, SSM Health Saint Louis
University Hospital
Address: 3660 Vista Avenue
St. Louis, MO 63110

Date: *8 June 2016*

Date: Mar 22, 2016

EXHIBIT A

NEISS DATA SECURITY PLAN

This Data Security Plan summarizes the policies and procedures that are implemented by the U.S. Consumer Product Safety Commission (“CPSC”) to secure study data and protect confidentiality for participants in the National Electronic Injury Surveillance System (“NEISS”). The plan follows the structure and guidelines established by the National Institute of Standards and Technology (NIST; 800-series)¹ for meeting the requirements of the Federal Information Security Management Act (FISMA)². The data security plan complies with all relevant laws, regulations, and policies governing the security of data and the protection of confidentiality, including the Privacy Act of 1974 (5 USC 552a)³ and the Confidential Information Protection and Statistical Efficiency Act (CIPSEA) (44 USC 101)⁴.

The overall objective of the security policies and practices summarized in this document is to protect the CPSC systems from a wide variety of threats that could compromise the confidentiality, integrity, or availability of the NEISS data. This is accomplished by implementing and monitoring a wide variety of security controls, as specified in NIST SP 800-53, Revision 3. This plan outlines a subset of the most relevant controls applied by CPSC.

Access Control

All NEISS data are stored on CPSC network file stores or on database servers. All server and network data storage areas are protected by access privileges, which are assigned by the appropriate system administrator. Access to these secure computer systems requires authentication with a Personal Identity Verification (PIV) card and PIN. The system automatically limits the number of unsuccessful attempts to log in, after which the account is disabled and must be reset by the system administrator.

Personnel Security, Awareness, and Training

NEISS coders who review and extract information from medical records at the hospital are either hospital staff or CPSC third party contractors approved by the hospital administration. NEISS coders are expected to follow hospital protocols for accessing medical records. NEISS coders are also expected to know and adhere to the security and privacy policies and practices specific to the hospital in which they work. Prior to employment, CPSC staff undergo a National Agency Check and are issued Personal Identity Verification (PIV) cards in compliance with Homeland Security Presidential Directive-12⁵. CPSC staff are required to maintain a favorably adjudicated background investigation and the PIV credentials are renewed every 5 years.

Upon employment and annually thereafter, CPSC staff must complete training on Information Security Awareness, Privacy Awareness, and CPSC’s Rules of Behavior.⁶ CPSC staff who work directly with NEISS data complete an additional annual training session focused on proper handling and protection of Personally Identifiable Information as it pertains to NEISS records. Employees and their supervisors are required to certify that they understand and follow the policies and procedures. Consequences for not adhering to policies depend upon the severity of harm and intent, and can range from removal of system access to separation from employment.

¹ <http://csrc.nist.gov/sec-cert/ca-compliance.html>

² <http://csrc.nist.gov/policies/FISMA-final>

³ <http://www.justice.gov/opcl/privstat.htm>

⁴ <http://www.eia.gov/cipsea/cipsea.pdf>

⁵ <https://www.dhs.gov/homeland-security-presidential-directive-12>

⁶ CPSC Directives 0760.1, Security Regulations for Information Protection, and 0760.2, Protection of Personally Identifiable Information for CPSC Information Systems

When a CPSC staff member leaves, appropriate steps are taken to transfer responsibility and preserve any data to which the user may have access.⁷ Each departing staff member's PIV card is deactivated, and any computer accounts assigned to the user are deactivated to ensure that the departing employee no longer has access to NEISS data or network resources.

Audit and Accountability

It is CPSC policy⁸ that audit trails and logging shall be used for the following:

- Individual Accountability - Audit trails shall be used to support accountability by providing a trace of user actions involving CPSC information systems.
- Reconstruction of Events - Audit trails shall be used to support after-the fact investigations.
- Intrusion Detection - Audit trails shall include appropriate information necessary to detect and trace system intrusions.
- Problem Identification - Audit trails shall include appropriate information necessary to detect system processing problems and malfunctions.

Audit trails are reviewed weekly for critical systems and daily for perimeter security and intrusion detections systems (such as firewalls and routers). Audit trails are also immediately reviewed following any suspected or confirmed system intrusion, security policy violation, unauthorized access, suspicious activity, or known system or application problem.

Security Assessment

CPSC enhances information security by implementing the appropriate security controls and assurance requirements as described in NIST SP 800-53, Recommended Security Controls for Federal Information Systems⁹. System assessments are conducted by examining, reviewing, and testing the implementation of the appropriate security control baseline contained in NIST SP 800-53. The procedures for assessing and reporting the assessment results are contained in NIST SP 800-53A, Guide for Assessing the Security Controls in Federal Information Systems.

CPSC information system security controls are assessed annually by a third-party organization. The assessment process helps determine the extent to which the security controls in the information system are implemented correctly, operating as intended, and producing the desired system security posture. This process also identifies specific actions taken or planned to correct security control deficiencies and to reduce or eliminate known system vulnerabilities.

Contingency Planning

CPSC's Information Systems staff backup all server-based storage to tape on a daily, weekly, and monthly schedule¹⁰. Backups are stored at a site that is geographically separated from CPSC Headquarters so as not to be susceptible to the same hazards. Backup data is periodically reviewed, and if appropriate, archived to comply with guidance from the National Archives and Records Administration.¹¹

Incident Reporting

All CPSC staff working on NEISS are required to report security incidents in which they believe systems security or Personally Identifiable Information (PII) has been, or may be, breached, such as by the unauthorized or suspicious presence of unidentified individuals on CPSC premises; the unauthorized use of passwords; unauthorized access to a server area or otherwise secure area; the demonstrated or likely

⁷ CPSC Directive 0947.1, Accountability and Clearance Procedures for Separating Employees

⁸ CPSC CIO Audit and Accountability Policy, Version 1.2

⁹ http://csrc.nist.gov/publications/nistpubs/800-53-Rev3/sp800-53-rev3-final_updated-errata_05-01-2010.pdf

¹⁰ CPSC CIO Backup Policy, Version 1.0

¹¹ CPSC Directive 0730.1, Records Management Program

existence of a virus on a computer; and possible unauthorized transmission of confidential data without encryption or security. Any actual or suspected breach, theft, loss, or potential loss of confidential information will be reported to the CPSC Information Systems Security Officer within one hour of discovery. The Information Systems Security Officer leads CPSC's Incident Response Team. This team includes CPSC's Privacy Officer due to the extensive overlap of privacy and information security.¹²

Media Protection

NEISS data, including Victim Identification information, are entered into a CPSC-issued laptop with hard disk encryption. Access to the system is controlled through the issuance of usernames and passwords. NEISS data files, including Victim Identification information, are transmitted from participating NEISS hospitals to CPSC through an encrypted internet protocol session using a .NET application. FIPS 140-2 validated Advanced Encryption Standard (AES) encryption is used both for file transfer and for protecting files while they are temporarily stored on the data transport server. File transfer and metadata are logged into an audit trail. Once files have been received by the secure data network, they are downloaded into a secure, limited-access network directory for verification and editing. This directory is located in a separate internal network security zone that is isolated by firewall settings from incoming connections from the Internet.

NEISS data, excluding Victim Identification information, are maintained indefinitely by CPSC. Victim Identification information is automatically deleted from the network database after 30 days. A number of administrative and technical safeguards are also employed to protect the security of all sensitive and confidential NEISS information on digital (laptops) and non-digital (paper) physical media, including the following:

- All data stored on laptops are encrypted using FIPS 140-2 compliant encryption (PGP).
- NEISS data transmitted between field laptops and CPSC servers are protected both by FIPS 140-2 compliant file encryption and by the use of Secure Socket Layer (SSL) or Transport Layer Security (TLS).
- Other files and communications containing protected information are transmitted between hospital coders and CPSC staff via FIPS 140-2 compliant cloud-based secure file transfer.
- Access to files containing Personally Identifiable Information is limited to those staff with a specific need for the information.
- System-generated output containing confidential data is stored in locked areas until no longer needed and is disposed of in accordance with CPSC requirements.
- Electronic media such as CDs that contain data which is no longer needed are destroyed by degaussing, low-level formatting, shredding, or other industry-approved destructive methods.
- For paper records that need to be destroyed, CPSC provides designated secure paper recycling containers at various locations throughout the headquarters.

Physical and Environmental Protection

Physical access to CPSC buildings and offices is controlled at all times through the use of Personal Identity Verification (PIV) cards assigned to individual staff. The PIV card includes photo identification and must be visibly displayed at all times. Every use of the PIV card to enter a particular building or office is recorded in an electronic log for security and tracking purposes. Visitors must be escorted by CPSC staff and are required to sign in with a security guard and receive a day pass. Access to the computer centers is also controlled by the PIV card, with limited access privileges for designated operations and project support staff only. These specially designed centers house the computer systems, equipment for data communications, network services and operations.

¹² CPSC CIO Incident Response Policy Version 1.1

CPSC buildings are protected against fires by automatic smoke detection and overhead sprinkler systems, in accordance with local building and fire codes. These systems are centrally monitored by a fire panel. Computer facilities are equipped with air conditioning systems to control temperature and humidity and are monitored 24 hours a day, with alarms providing notification of any abnormal conditions. Computer facilities are also protected against electrical power surges and short-term outages by battery-based uninterruptible power systems (UPS).

System and Services Acquisition

CPSC follows a defined life cycle methodology that includes information system security, defining information security roles and responsibilities, and assigning individuals to those roles. Security is considered in all phases of the system development life cycle and treated as an integral part of the system development and implementation process, including system modifications. CPSC uses a formal change control procedure to authorize all significant changes to software, hardware, communications networks, and related procedures¹³. A security impact analysis is performed for all major changes. A security impact analysis determines the extent to which proposed or actual changes to the information system or its environment of operation can affect or have affected the security state of the system. The security impact analysis may include the review of information system documentation such as the security plan to understand how specific security controls are implemented within the system and how a change might affect existing controls. Security impact analysis may also include an assessment of risk to understand the impact of a change and to determine if additional security controls are required.

System and Information Integrity

CPSC performs basic and ongoing vulnerability scans on servers to identify possible vulnerabilities. Results are made available to the appropriate systems technical administrators and managers who are required to respond with information on any corrective actions taken. Server and workstation operating systems are updated with applicable security patches as they are made available by the vendors. Procedures are in place for staff to respond to early warnings about security threats whether during or outside regular business hours. CPSC's response protocol includes immediate action to gather information, protect systems, inform users, and take any new protective measures, such as applying newly released security software updates. All networked PCs are required to use CPSC-installed antivirus software, which scans files for viruses before saving them to the network. All incoming and outgoing email is scanned, and any suspicious messages are quarantined for possible follow-up investigation. The antivirus scanning software is updated and distributed to network servers, email servers, and PCs automatically on a scheduled basis to ensure that currently reported viruses will be detected. Urgent updates can also be pushed to servers and PCs between the scheduled times to prevent the spread of a recently discovered virus.

Plan Implementation and Enhancement

CPSC is committed to observing high standards of information technology and systems security in order to protect systems and data from a wide range of threats that could affect the confidentiality, integrity or availability of NEISS data, to comply with the various legislative and contractual requirements, and to educate our staff regarding their responsibilities to comply with these policies. CPSC's Information Systems Security Officer oversees the development and application of information technology and systems security policies and best practices, and monitors conformance to these policies and best practices throughout the organization. However, systems security is a joint effort involving project management, project IT staff, and support staff. Therefore, CPSC's Division of Epidemiology – Data Systems has also designated staff to evaluate security policies, procedures, and documents as they pertain to NEISS data. These documents are reviewed at least annually, and are amended or supplemented in response to new data security threats or improved practices.

¹³ EXIT Change Control Policy, Version 1.0

NEISS data are de-identified prior to release

NEISS is an invaluable national resource for detecting and monitoring injuries associated with consumer products. De-identified information is made available to the public for use in research, policy, and program planning. The de-identification process involves removing information that links NEISS records to specific hospitals and removing any potential personally identifiable information from the records. De-identified NEISS data can be viewed and downloaded at

<https://www.cpsc.gov/cgibin/NEISSQuery/home.aspx> (see Figure 1 and 2 for screenshots).

Figure 1. NEISS data available online at <https://www.cpsc.gov/cgibin/NEISSQuery/home.aspx>

The screenshot shows a web browser window with the URL <https://www.cpsc.gov/cgibin/NEISSQuery/home.aspx>. The page title is "U.S. Consumer Product Safety Commission" and the main heading is "NEISS Estimates Query Builder".

The form includes the following sections:

- Treatment Dates:** (mm/dd/yyyy) *From: 01/01/2012 *To: 12/31/2012. A note states: "One year maximum range; range cannot begin before 01/01/1991 or end after 12/31/2012".
- NEISS Product Codes:** From: [] To: [] (repeated for three ranges). A note states: "Up to 3 ranges allowed. To query a single code leave 'To' blank. All codes are queried if nothing entered." Another note states: "These codes change over time, so use the list next to each box to find the valid codes for your treatment data range. For more information see the [NEISS Coding Manual](#) or the [Product Code Comparability Table](#)".
- Other Parameters:** If blank, there is no restriction for that parameter in the query. For age: 1-23 months follows 2-120 years in dropdown lists. Fields include: Sex: [], Age From: [], Age To: [], Body Part: [], Disposition: [], Diagnosis: [], Location: Home [].

At the bottom, there are links for [CPSC Home](#), [Submit Query](#), [Reset](#), and [NEISS Home](#). A note states: "Fields marked with a * are required" and "Questions on how to query the NEISS system should be directed to [CPSC NEISS](#)".

Figure 2. Sample case detail from online NEISS data

https:// NEISS Estimates Qu...
 File Edit View Favorites Tools Help

National Electronic Injury Surveillance System (NEISS)

Sample Case Detail

Glossary
 PSU = Primary Sampling Unit (Hospital) Weight = Statistical Weight
 Stratum = Size/type of hospital (S= Small, M=Medium, L=Large, V=Very Large, C=Children's Hospital)

Total Records: 5

CPSC Case #:	120156985	Treatment Date:	01/23/2012	PSU:	73	Weight:	69.9372	Stratum:	S
Age:	4 - 4 YEARS	Sex:	2 - FEMALE	Race:	1 - WHITE	Race Other:			
Diagnosis:	42 - ASPIRATED OBJECT	Diag Other:							
Body Part:	0 - INTERNAL								
Disposition:	4 - TREATED & ADMITTED FOR HOSPITALIZATION, HOSPITALIZED								
Location:	1 - HOME	Fire Involvement:	0 - NO FIRE OR NO FLAME/SMOKE SPREAD						
Products:	1554 - SAFETY PINS								
Narrative:	4YOF SWALLOWED A SAFETY PIN AND IT GOT STUCK IN THROAT FB ASPIRATION								

CPSC Case #:	120206031	Treatment Date:	01/24/2012	PSU:	37	Weight:	5.9179	Stratum:	C
Age:	2 - 2 YEARS	Sex:	1 - MALE	Race:	0 - N.S.	Race Other:			
Diagnosis:	57 - FRACTURE	Diag Other:							
Body Part:	30 - SHOULDER								
Disposition:	4 - TREATED & ADMITTED FOR HOSPITALIZATION, HOSPITALIZED								
Location:	1 - HOME	Fire Involvement:	0 - NO FIRE OR NO FLAME/SMOKE SPREAD						
Products:	1543 - CRIBS								
Narrative:	2 YO M FELL FROM CRIB AND FX SHOULDER								

CPSC Case #:	120255141	Treatment Date:	02/26/2012	PSU:	8	Weight:	5.9179	Stratum:	C
Age:	3 - 3 YEARS	Sex:	1 - MALE	Race:	1 - WHITE	Race Other:			
Diagnosis:	71 - OTHER OR NOT STATED	Diag Other:							
Body Part:	77 - EYEBALL								
Disposition:	4 - TREATED & ADMITTED FOR HOSPITALIZATION, HOSPITALIZED								
Location:	1 - HOME	Fire Involvement:	0 - NO FIRE OR NO FLAME/SMOKE SPREAD						
Products:	1533 - NIGHT-LIGHTS, 952 - FABRIC TREATMENT PRODUCTS								
Narrative:	3YOM ALTERED MENTAL STATUS, EYE PAIN, SPRAYED EYE W/**** LAST WK,PULLED HEAVY NIGHT LIGHT ON HEAD LAST NIGHT; HYPHEMIA OF EYE								

ATTACHMENT B

**Expanded National Electronic Injury
Surveillance System (NEISS) Reporting Rule**

Please Report:

- ❖ **All injuries and poisonings treated in
your emergency department**

- ❖ **Illnesses associated with consumer
products or recreational activities**

- ❖ **Illnesses apparently caused by work-
related experiences**

- ❖ **Illnesses apparently caused by
medical devices**