



THE UNIVERSITY OF TENNESSEE HEALTH SCIENCE CENTER

REQUEST FOR PROPOSAL# 10054153



Date: February 3, 2017

THE UNIVERSITY OF TENNESSEE HEALTH SCIENCE CENTER

REQUEST FOR PROPOSAL # 10054153

CONFLICT OF INTEREST (COI) DISCLOSURE AND MANAGEMENT SYSTEM

Issue Date: February 3, 2017

Proposals Due: February 24, 2017 at 2:00 PM CST

A. GENERAL INFORMATION

1. Issuing Office/Contact Person

The University of Tennessee Health Science Center
Purchasing Services
847 Monroe, Suite 216
Memphis, Tennessee 38163

Contact Person: Michelle Newman
Phone: (901) 448-7271
Fax: (901) 448-8028
Email: knewma13@uthsc.edu

This office shall be the sole point of contact for purposes of information concerning this RFP. Questions should be directed to the contact person listed above.

2. Overview

As the flagship statewide, public, academic health system, the mission of the University of Tennessee Health Science Center (UTHSC) is to bring the benefits of the health sciences to the achievement and maintenance of human health, with a focus on the citizens of Tennessee and the region, by pursuing an integrated program of education, research, clinical care and public service. The UTHSC's campus comprises six colleges: Dentistry, Graduate Health Sciences, Health Professions, Medicine, Nursing and Pharmacy. These colleges pursue basic science and clinical research with an emphasis on translational research.

UTHSC investigators are supported by both government grants and private funding. In fiscal 2014, UTHSC generated more than \$200 million in sponsored programs, all source nonclinical grants and contracts.

3. Introduction

Project Objective

The University is seeking to convert its "manual" outside interest disclosure process to an electronic process. The University is searching for a user-friendly web based application that

streamlines the current process and allows a timely and efficient conversion. Currently, personnel print the Outside Interest Disclosure (OID) Form, fill it out and sign it. The form is then sent to their supervisor for review and signature. Finally, the form is sent to the Chief Business Officer (or designee) for review. This is an onerous process and it is difficult to manage due to the volume of “paper” forms involved and the time it takes to review each one manually.

UT Fiscal Policy FI0125 and HSC Procedure F125 - Conflict of Interests set forth guidelines related to conflict of interests for University personnel. Personnel include:

- ALL full-time faculty and staff regardless of their involvement in Sponsored Activities;
- Any and all other (e.g. part-time, affiliated, volunteer, adjuncts, etc.) faculty and staff (including post docs) who are involved (with or without compensation) in a proposed or funded Sponsored Activity; and
- Undergraduate, graduate or professional students (including residents and fellows) who are involved (with or without compensation) in any proposed or funded Sponsored Activity.

All Personnel are required to complete an Outside Interests Disclosure Form to identify any potential conflict of interests between their University duties and responsibilities and their outside interests. This form requires the disclosure of specific outside interests that may or may not represent conflict of interests.

The guidelines (***UT Fiscal Policy FI0125 and HSC Procedure F125 - Conflict of Interests***) and form (***F125F - Outside Interest Disclosure***) can be reviewed at <http://uthsc.edu/policies/>. Click on “Policies and Procedures” and the “Finance” folder.

The University’s financial and human resources accounting system is based on SAP R/3 software for higher education.

4. Proposals

- A. Technical and cost proposals shall be submitted in separate sealed envelopes. Technical proposals will address your proposed technical approach to providing and installing the COI disclosure and management system software and will address all informational, functional and general requirements of the RFP document. A separate cost proposal shall include an itemized cost proposal for the scope of the services and deliverables required by this RFP. Cost information cannot be part of or included in your technical proposal submission. At a minimum, the cost proposal will include an itemized cost proposal for the scope and services required by this RFP. Any cost not accounted for that would be part of your solution must be included in your cost proposal. The cost proposal should include any expenses related to travel, living and per-diem expenses. Statements such as “travel and travel related expenses will be billed at our cost...” may not be considered responsive to our request for complete cost information. Submission of any cost data in any areas other than the cost proposal may be grounds for non-consideration of your proposal. Payment terms will be negotiated and be based on performance. Under no condition will payments be made prior to delivery of any services or products to be furnished.

- B.** The original proposal must be signed and dated by an individual authorized to enter into a binding agreement in the name of the proposer.
- C.** The proposal should be presented in a format that can easily be incorporated into a contract between the insurer and the campus encompassing the guidelines detailed in the RFP and required by the University.
- D.** The University reserves the right to reject any and all proposals, waive any informalities in the proposals received, and accept any proposal which, in its opinion, will be in the best interest of the campus. The University does not obligate itself to accept the lowest or any other proposal.
- E.** The proposer warrants that no part of the total contract amount shall be paid directly or indirectly to an employee or official of the State of Tennessee as wages, compensation, or gifts in exchange for acting as officer, agent, employee, subcontractor, or consultant to Contractor in connection with any work contemplated or performed relative to the contract and that no employee or official of the State of Tennessee holds a controlling interest in the Contractor. If the proposer is an individual, the proposer certifies that he/she is not presently employed by the campus or any other agency or institution of the State of Tennessee; that he/she has not retired from or terminated such employment with the past six months and that he/she will not be so employed during the term of this contract.
- F.** No persons on the grounds of disability, age, race, color, religion, sex, national origin, veteran status or any other classification protected by Federal and/or Tennessee State constitutional and/or statutory law shall be excluded from participation in, or be denied benefits of, or be otherwise subjected to discrimination in the performance of this contract. The proposer shall, upon request, show proof of such non-discrimination, and shall post in conspicuous places, available to all employees and applicants, notice of non-discrimination.
- G.** The Contractor shall comply with all applicable Federal and State laws and regulations in the performance of this contract.
- H.** The contract will be for a one (1) year period with options to extend for four (4) additional twelve month terms.
- I.** The University may terminate the contract with a ninety (90) days written notice of intent to cancel.

5. Pricing

Pricing MUST NOT be included or submitted with the technical offers. Submission of pricing with the technical offer will render it invalid. Pricing will only be solicited in the second phase of this procurement process.

6. Open Bidding

The enclosed specifications are not intended to be restrictive. However, respondents should offer their services available that most closely conforms to the requirements and specifications stated herein.

7. Evaluation Criteria

The campus will use the following criteria to evaluate and determine acceptability of technical offer based on the categories and points stated on page 10:

- a. Vendor's response to this solicitation
- b. References
- c. Confidential discussions with vendors
- d. Supplemental information submitted by vendor

8. Sealed Technical Proposals

Late technical offers cannot be considered. The envelope in which technical proposals are submitted should be identified by placing the special label provided on the outside of the envelope. It is imperative that the responding company's name and address appear in the upper left corner of the envelope and that the bottom portion of the special label attached be filled in and pasted on the lower left corner of the envelope. All sealed offers must be received by the Office of Procurement Services prior to the scheduled opening date and time. Hand-delivered offers must be given to a representative of the Office of Procurement Services immediately upon entering the office. The original Technical Proposal along with the same document on flash drive should be submitted.

9. Acceptance and Rejection

The campus reserves the right to reject any all proposals and to waive any informality in the proposals received and to accept any proposals that, in its opinion, are in the best interests of the campus. During the bidding phase of this procurement, the campus does not obligate itself to accept the lowest or any other bid. The campus will be the sole judge as to whether the respondent's proposal is qualified and whether respondent will thereby be eligible to submit bid pricing in phase two of this procurement. This solicitation does not commit the University of Tennessee Health Science Center or the State of Tennessee to award a contract, to pay any costs incurred in the preparation of a proposal, or to procure or contract for the articles of goods or services.

10. Purchase Subject To Tennessee Code Annotated 12-4-103

It is hereby declared unlawful for any state official or employee to bid on, or sell, or offer for sale, any merchandise, equipment or material, or similar commodity, to the State of Tennessee during the tenure of his her office or employment, or for six (6) months thereafter, or to have any interest in the selling of the same to the State. Bidder's signature on this technical offer certifies the fact that bidder is in compliance with T.C.A. 12-4-103.

11. Inspection of Bid File

After the bid price evaluation taking place in the second phase of this multi-step process, all data relating to procurement shall be made available for inspection. A reasonable opportunity for such inspection prior to the award shall be provided to each bidder. Purchasing shall have full discretion to determine what a reasonable opportunity under the circumstances is, but shall provide at least five (5) working days for inspection prior to award when multi-step sealed bidding is utilized. All requests for inspection shall be made in writing to the Office of Procurement Services.

12. Interpretations and Addenda

If a bidder finds discrepancies, ambiguities, omissions, or is in doubt as to the meaning or intent of any provisions of this solicitation, the campus should be notified not less than five (5) days before the proposal opening date. Such notifications must be submitted in writing and hand-delivered or sent by facsimile or email to the contact person listed in Section 3 above. Proposers should confirm that such questions or requests are received. All answers will be provided in the form of written addenda and issued simultaneously to all holders of this solicitation. No request for interpretation or clarification will be received or answered less than five (5) days before the due date for technical offers.

13. Certification of Debarment Status

The vendor certifies that he/she is not presently debarred, proposed for debarment, suspended, or declared ineligible for covered transactions by any federal agency or department. The vendor also certifies that within the past three (3) years he/she has not been convicted of or had civil judgment rendered against them for a fraudulent contract or transaction, violation of federal or state antitrust laws, or the commission of embezzlement, theft, forgery, bribery, falsifying or destroying records, receiving stolen property, or making false statements.

14. Schedule of Events

University Issues RFP	February 3, 2017
Acknowledgment of Receipt and Intention Due from Vendors	February 13, 2017
Written Comments/Questions Due from Vendors to the University	February 13, 2017
University responds to Vendors Written Comments/Questions	February 15, 2017
Sealed Proposals Due	February 24, 2017 at 2:00 p.m. CST
University to Complete Technical Proposal Evaluation	February 28, 2017
University Opens Cost Proposal and Calculates Scores	March 2, 2017
University Issues Intent to Award Letter and Opens RFP Files for Public Inspection	March 3, 2017
Award of Contract	March 13, 2017

The University reserves the right to deviate from the above Schedule of Events.

15. General Proposal Conditions

All proposers must review the General Proposal Conditions found at the link below and state in their proposal their acceptance of or exception to these conditions.

http://purchasing.tennessee.edu/general_proposal_conditions.htm

B. GENERAL INFORMATION

- 1. NO PRICING IS TO BE INCLUDED IN TECHNICAL PROPOSALS. ANY PRICING INCLUDED WILL CAUSE THE PROPOSAL TO BE DISQUALIFIED.** Pricing will be solicited in the second phase of this procurement process from those proposers that submit qualified technical proposals.
2. Technical Proposals must address each element in Section C below and include the information requested. As a minimum, a statement such as “YES OR NO” must be made for each element that does not request specific information to be provided. By indicating “YES OR NO”, the proposer is positively stating that it is currently performing the stated services or features and is able to provide such services or features to the campus if the proposer is selected as the successful bidder. If your company cannot fully satisfy the requirement stated in the element,

an explanation must be given. Failure to comply and include the information requested may result in rejection of the proposal.

3. Technical Proposals are to be submitted as a booklet or in notebook form with an appropriate table of contents. The Form of Proposal (Attachment A) should be completed, signed by an authorized official of the proposing company, and included in the front of the proposal. A cover letter may also be included. Each element addressed in Section C must include the element number (e.g., 2.2, etc.). Proposals should be prepared simply and economically, providing a straightforward concise description of the Vendor's services, approach and ability to meet the campus' needs as stated in the RFP.
4. In a sealed envelope Proposer is to submit one original hard copy of the Technical Proposal along with the document on a Flash Drive. Then in a separate envelope submit one original hard copy of the Cost Proposal with document on separate Flash Drive.
5. This RFP contains requests for certain specific information. However, proposers are encouraged to provide any additional information they believe relevant.

C. PROPOSAL REQUIREMENTS

1. Company's Profile/Qualifications/Experience - Provide the following information:
 - a. Name and address of firm including website address.
 - b. Address for web demo version of software (if applicable).
 - c. Name of the contact person that the University should contact for questions and clarification concerning your firm's response. Include phone number, fax number, and e-mail address.
 - d. Brief history of the firm including financial stability and the total number of years your firm has been in the business of providing services as requested in this RFP.
 - e. Listing of office locations.
 - f. Business under any other name? If yes, what name?
 - g. Has your company ever been investigated in a fraud or abuse case? What was the outcome?
 - h. Disclose any involvement by your organization or any officer or principal in any material business litigation within the last five (5) years.
 - i. Describe your company's experience in providing the services described herein.
 - j. A representative client listing with three (3) designated references that the University can contact (include phone numbers). Please include references where your firm has performed and completed engagements similar to this request, including at least one (1) academic health science center (if applicable). In addition, please include references for any clients that are State of Tennessee governmental agencies, other University of Tennessee campus locations or other universities/colleges of similar size and complexity.
 - k. List of previous installations of COI modules/systems at other universities.

2. A listing of personnel who could potentially be assigned to perform the proposed contract with their qualifications and experience.

3. Conflict of Interest Disclosure and Management System
 - a. Provide a brief summary of the COI module/system.
 - b. List required hardware and software licensing required for installation.
 - c. It is a requirement that University-developed materials be implemented in the module/system. For example, the University expects to use its current Outside Interests Disclosure (OID) format rather than “canned” materials developed by the vendor. Also, it is required that the OID form contain “drop-down” boxes to provide choices for some of the answers.
 - i. Provide details of this process.
 - ii. Can the “drop-down” box choices in the COI module be integrated with information contained in the University’s HR/Financial modules in SAP R/3?
 - iii. Can changes be done by the business administrator or must they be implemented by a programmer?
 - d. Describe how the system is set up for the administrator of the University’s COI program to review and manage the disclosures. Does the system allow for more than one business administrator?
 - e. Describe the process wherein the COI administrator is notified when a conflict of interest is identified.
 - f. Describe the workflow process for review and approval of COI forms.
 - g. How does the system allow for automated e-mail notifications?
 - h. Does the system allow for COI risk management plans to be included and managed electronically? If so, please describe.
 - i. We expect that it will be an annual requirement for personnel to review their OID form and either attest that the current information has not changed or that a new form needs to be completed with updated information.
 - i. Does the system maintain the history of all forms completed since its inception?
 - ii. Does the system have the capability to review the current form and attest that it is correct and no changes are necessary?
 - j. Does your company offer a training module? Describe whether a training module could be integrated into the COI module to develop and administer periodic on-line training courses. If there is no integrated training module, is there a method to associate the external training status with each person making a disclosure?
 - k. If applicable, describe how the module/system is set up to incorporate regulations such as the code of federal regulations and/or state and university requirements.
 - l. Describe whether the COI module/system could be integrated to work with the University’s human resource module in SAP R/3.

- m. Describe existing reports as well as the built-in ability for the business administrator to develop and run reports. Can these reports be down loaded into other software programs such as Excel, FileMaker Pro, etc.?

4. General

- a. Describe your internal product development staff and their qualifications both technical and subject matter.
- b. Describe how modification of disclosures, forms, training modules etc. is tracked or logged in the system – disclosure life cycle documentation.
- c. Furnish any other information that is considered relevant to understanding your product and service offerings.

5. Technical

- a. Describe the database(s) on which your product is capable of working.
- b. Describe how work flow processes are implemented/adjusted at the application and administrator level.
- c. Describe how you handle software upgrades.
- d. Describe how you handle software maintenance releases.
- e. Provide a history of your company's familiarity with SAP R/3.
- f. Explain how your product could interface with SAP R/3.
- g. Describe technical security implementation.

D. OPTION: ORAL PRESENTATION

The University reserves the right, but is not obligated, to request and require that a vendor provide a formal oral presentation of its proposal at a date and time to be determined. If required by the University, it is anticipated that such presentation will not exceed two hours including the question/answer session. No vendor will be entitled to be present during the presentation of any other vendor. Vendors shall bear all costs associated with their presentation.

Evaluation Criteria

The following evaluation criteria will be used in the selection process:

Technical Proposal

1. Experience of Firm or Individual

- Overall experience
- Qualifications of proposed team or individuals dedicated to
- Client references

Total – up to 100 points

2. Work Plan/Approach to Addressing the University's Needs

- Scope of Services – Implementing and Follow-up

Total – up to 600 points

Cost Proposal

3. Cost Proposal – up to 300 points

The Proposal Evaluation Committee shall first evaluate the written proposals and conduct reference checks. The cost proposals will be opened and evaluated upon completion of scoring the technical proposals.

ATTACHMENT A

**TECHNICAL
FORM OF PROPOSAL**

Conflict of Interest (COI) Disclosure and Management System
RFP# 10054153

In response to Request for Proposal (RFP), the undersigned presents this Technical Proposal to provide a COI disclosure and management system to the University of Tennessee Health Science Center in accordance with the RFP documents contained herein. The proposer agrees to be bound by all terms and conditions of the RFP and to enter into a contract for the proposed services if selected as the successful bidding during the bidding phase. Inclusion of Price Proposal dollar amounts in the Technical Proposal shall make the entire Proposal non-responsive.

Firm Name

Signature

Street Address

Typed Name

City/State/Zip Code

Title

Phone No.

Date

Fax No.

Federal ID Number

Email Address

NOTE: ONE ORIGINAL AND FLASH DRIVE OF THE COMPLETE TECHNICAL PROPOSAL,
UNDER SEAL, SHOULD BE SUBMITTED.

ATTACHMENT B

REFERENCES

Reference 1

Institution	
Contact Person	
Address	
Phone	
Fax	
Email	
Dates of Contract	

Reference 2

Institution	
Contact Person	
Address	
Phone	
Fax	
Email	
Dates of Contract	

Reference 3

Institution	
Contact Person	
Address	
Phone	
Fax	
Email	
Dates of Contract	

ATTACHMENT C

**THE UNIVERSITY OF TENNESSEE
ATTESTATION RE PERSONNEL USED IN CONTRACT PERFORMANCE
REQUEST FOR PROPOSAL# 10054153**

ITEM OR SERVICE:	
CONTRACTOR LEGAL ENTITY NAME:	
FEDERAL EMPLOYER IDENTIFICATION NUMBER: (or Social Security Number)	

In compliance with the requirements of Chapter 878, Tennessee Public Acts of 2006, the Bidder hereby attests that, if awarded this bid requirement, the Bidder shall not knowingly utilize the services of an illegal immigrant in the performance of the Contract or Purchase Order and shall not knowingly utilize the services of any subcontractor who will utilize the services of an illegal immigrant in the performance of the Contract or Purchase Order.

SIGNATURE & DATE: _____

NOTICE: This attestation MUST be signed by an individual empowered to contractually bind the Contractor.

NOTE: The bidder should enter the company's legal name and Federal Employer Identification Number or Social Security Number in the appropriate space and then sign and date this form.

**ATTACHMENT D
COST
FORM OF PROPOSAL**

Conflict of Interest (COI) Disclosure and Management System
RFP# 10054153

In response to Request for Proposal (RFP), the undersigned presents this Cost Proposal to provide a COI disclosure and management system to the University of Tennessee Health Science Center in accordance with the RFP documents contained herein. The proposer agrees to be bound by all terms and conditions of the RFP and to enter into a contract for the proposed services if selected as the successful bidding during the bidding phase.

Firm Name

Signature

Street Address

Typed Name

City/State/Zip Code

Title

Phone No.

Date

Fax No.

Federal ID Number

Email Address

NOTE: ONE ORIGINAL AND THREE COPIES OF THE COMPLETE COST PROPOSAL, UNDER SEAL, SHOULD BE SUBMITTED.

ATTACHMENT E

UNIVERSITY OF TENNESSEE HEALTH SCIENCE CENTER

COST PROPOSAL

A. Fee \$ _____

B. Provide additional costs for the following items:

1. New Client Set-up & Training \$ _____

2. Software Conversions/Updates \$ _____

3. Annual Maintenance Fee \$ _____

C. Other (Please itemize and describe) \$ _____

Note: In accordance with the RFP, this Cost Proposal must be submitted in a separate sealed envelope. A narrative explaining the fees and costs quoted above should be attached to this form. See Attachment F for Sealed Proposal Labels.

ATTACHMENT F

SEALED PROPOSAL LABELS

The Sealed Price Proposal and the Sealed Technical Proposal must be contained in separate envelopes. These separately sealed and labeled envelopes may be sent together in a larger envelope or box. Please cut out these labels, highlight the border in red and affix to the lower left corner of the envelopes in which the Cost Proposal and Technical Proposal are submitted. Your company's name and address should appear in the upper left corner of the envelopes.

SEALED TECHNICAL PROPOSAL

**The University of Tennessee Health
Science Center**

RFP # 10054153

Date of Opening: February 24, 2017

Time of Opening: 2:00 p.m. CST

*Proposal for Conflict of Interest (COI)
Disclosure and Management System*

SEALED COST PROPOSAL

**The University of Tennessee Health
Science Center**

RFP # 10054153

Date of Opening: February 24, 2017

Time of Opening: 2:00 p.m. CST

*Proposal for Conflict of Interest (COI)
Disclosure and Management System*