TO: Interested Parties  
FROM: Julianne Konopka, MBA, Section Chief  
Health Information Systems and Reporting, Planning Branch  
SUBJECT: ADDENDUM to Request for Proposal for Biomedical Research (RFP # 2010-0913)  
Date: March 11, 2010

A change has been made to the Request for Proposal for Biomedical Research RFP # 2010-0913. The change to the RFP has been made on page 4, item 5 as follows:


Biomedical research proposals involving clinical procedures on human subjects must demonstrate that proposers will engage physicians as appropriate.

The RFP is available in electronic format on the State Contracting Portal at http://www.das.state.ct.us/Purchase/Portal/Portal_Home.asp or from the Department’s Official Contact:

Name: Julianne Konopka, MBA, Section Chief  
Address: Department of Public Health, 410 Capitol Avenue, MS#11PSI, PO Box 340308, Hartford, CT 06134-0308  
Phone: 860-509-7658  
Fax: 860-509-8403  
E-Mail: Julianne.Konopka@ct.gov

The RFP is also available on the Department’s website: http://www.ct.gov/dph/rfp
**PROCUREMENT NOTICE**

Below is the procurement notice for this RFP. When the anticipated cost of a competitive procurement exceeds $50,000, a legal notice must be published in two or more publications (one of which must be a major daily newspaper published in the state). Agencies must allow a minimum of seven (7) weeks between the RFP release date and the deadline for submitting proposals, unless an emergency situation warrants a shorter length of time. All RFPs, regardless of the anticipated procurement cost, must be posted on the State Contracting Portal on the release date of the RFP.

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**LEGAL NOTICE**

RFP#2010-0913
Biomedical Research

The State of Connecticut, Department of Public Health, is seeking proposals for biomedical research projects in the fields of heart disease and cancer as well as other tobacco-related diseases.

The Request for Proposals is available in electronic format on the State Contracting Portal at [http://www.das.state.ct.us/Purchase/Portal/Portal_Home.asp](http://www.das.state.ct.us/Purchase/Portal/Portal_Home.asp) or from the Department’s Official Contact:

Name: Julianne Konopka, MBA, Section Chief
Address: Department of Public Health, 410 Capitol Avenue, MS#11PSI, PO Box 340308, Hartford, CT 06134-0308
Phone: 860-509-7658
Fax: 860-509-8403
E-Mail: Julianne.Konopka@ct.gov

The RFP is also available on the Department’s website at [http://www.ct.gov/dph/rfp](http://www.ct.gov/dph/rfp). A printed copy of the RFP can be obtained from the Official Contact upon request. **Deadline for submission of proposals is no later than 4:30 PM on April 21, 2010.**
Below is an outline of this Request for Proposal. The outline presents the standard structure of all RFPs for POS: meaning, the same sections and subsections appear in all RFPs for POS; in other words, they are identically organized. The subsections of Section II are standard and their contents are the same for all RFPs for POS; they do not vary. The subsections of Sections I, III, IV, V, and VI are standard, but their contents vary by RFP, depending on the Department’s procurement requirements.

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I. GENERAL INFORMATION

This section of the RFP provides general information about the Department’s procurement and, most importantly, gives instructions to proposers and prospective proposers about how to comply with the RFP process and how to submit an acceptable proposal for review. Failure to comply with the RFP process or instructions may deem a proposal non-responsive and subject to rejection without further consideration. The subsections of Section I are standard, but their contents vary by RFP, depending on the Department’s procurement requirements.

■ A. INTRODUCTION

1. RFP Name or Number. Biomedical Research RFP#2010-0913.

2. Summary. The purpose of this RFP is to fund innovative, Connecticut-based biomedical research projects in the fields of heart disease and cancer as well as other tobacco-related diseases.

3. Synopsis (Optional). N/A

4. Commodity Codes. The services that the Department wishes to procure through this RFP are as follows:

1000 Biomedical Research Services

■ B. ABBREVIATIONS / ACRONYMS / DEFINITIONS

C.G.S. Connecticut General Statutes
CHRO Commission on Human Rights and Opportunity (CT)
CT Connecticut
DAS Department of Administrative Services (CT)
FOIA Freedom of Information Act (CT)
OPM Office of Policy and Management (CT)
POS Purchase of Service
RFP Request for Proposal
SEEC State Elections Enforcement Commission (CT)
U.S. United States

• contractor: a private provider organization, CT State agency, or municipality that enters into a POS contract with the Department as a result of this RFP
• proposer: a private provider organization, CT State agency, or municipality that has submitted a proposal to the Department in response to this RFP
• prospective proposer: a private provider organization, CT State agency, or municipality that may submit a proposal to the Department in response to this RFP, but has not yet done so
• subcontractor: an individual (other than an employee of the contractor) or business entity hired by a contractor to provide a specific health or human service as part of a POS contract with the Department as a result of this RFP

■ C. INSTRUCTIONS

1. Official Contact. The Department has designated the individual below as the Official Contact for purposes of this RFP. The Official Contact is the only authorized contact for this procurement and, as such, handles all related communications on behalf of the Department. Proposers, prospective proposers, and other interested parties are advised that any communication with any other Department employee(s) (including appointed officials) or personnel under contract to the Department about this RFP is strictly prohibited. Proposers or prospective proposers who violate this instruction may risk disqualification from further consideration.

- 3 -
2. RFP Information. The RFP, amendments to the RFP, and other information associated with this procurement are available in electronic format from the Official Contact or from the Internet at the following locations:

- Department’s RFP Web Page
  http://www.ct.gov/dph/rfp
- State Contracting Portal
  http://www.das.state.ct.us/Purchase/Portal/Portal_Home.asp

It is strongly recommended that any proposer or prospective proposer interested in this procurement subscribe to receive e-mail alerts from the State Contracting Portal. Subscribers will receive a daily e-mail announcing procurements and addendums that are posted on the portal. This service is provided as a courtesy to assist in monitoring activities associated with State procurements, including this RFP.

Printed copies of all documents are also available from the Official Contact upon request.

3. Contract Awards. The award of any contract pursuant to this RFP is dependent upon the availability of funding to the Department. The Department anticipates the following:

- Total Funding Available: $2,371,900
- Number of Awards: 5-9
- Contract Cost: Contract will range from approximately $250,000 to no more than $1,000,000
- Contract Term: 9/1/2010-8/30/2012

4. Eligibility. Applications to conduct new research or to enhance existing research projects will be accepted from Connecticut-based, nonprofit, tax-exempt academic institutions and hospitals that conduct biomedical research.


Biomedical research proposals involving clinical procedures on human subjects must demonstrate that proposers will engage physicians as appropriate.

6. Procurement Schedule. See below. Dates after the due date for proposals ("Proposals Due") are target dates only (*). The Department may amend the schedule, as needed. Any change will be made by means of an amendment to this RFP and will be posted on the State Contracting Portal and, if available, the Department’s RFP Web Page.

- RFP Released: March 2, 2010
- Letter of Intent Due: Not Applicable
- Deadline for Questions: March 24, 2010
- Answers Released (Round 1): March 31, 2010
- RFP Conference: Not Applicable
- Answers Released (Round 2): To be determined (if needed)
- Proposals Due: April 21, 2010
- (*) Proposer Selection: June 9, 2010
- (*) Start of Contract Negotiations: June 14, 2010
- (*) Start of Contract: August 1, 2010
7. **Letter of Intent.** A Letter of Intent (LOI) is not required for this RFP.

8. **Inquiry Procedures.** All questions regarding this RFP or the Department’s procurement process must be directed, in writing, to the Official Contact before the deadline specified in the Procurement Schedule. The early submission of questions is encouraged. Questions will not be accepted or answered verbally – neither in person nor over the telephone. All questions received before the deadline(s) will be answered. However, the Department will not answer questions when the source is unknown (i.e., nuisance or anonymous questions). Questions deemed unrelated to the RFP or the procurement process will not be answered. At its discretion, the Department may or may not respond to questions received after the deadline. The Department may combine similar questions and give only one answer. All questions and answers will be compiled into a written amendment to this RFP. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the amendment and duly noted as such. The agency will release the answers to questions on the date(s) established in the Procurement Schedule. The Department will publish any and all amendments to this RFP on the State Contracting Portal and, if available, on the Department’s RFP Web Page.

9. **RFP Conference.** An RFP conference will not be held to answer questions from prospective proposers.

10. **Proposal Due Date and Time.** The Official Contact is the only authorized recipient of proposals submitted in response to this RFP. Proposals must be received by the Official Contact on or before the due date and time:

- **Due Date:** April 21, 2010
- **Time:** 4:30 PM

Faxed or e-mailed proposals will not be evaluated. When hand-delivering proposals by courier or in person, allow extra time due to building security procedures. The Department will not accept a postmark date as the basis for meeting the submission due date and time. Proposals received after the due date and time may be accepted by the Department as a clerical function, but late proposals will not be evaluated. At the discretion of the Department, late proposals may be destroyed or retained for pick up by the submitters.

An acceptable submission must include the following:

- one (1) original proposal;
- three (3) conforming copies of the original proposal; and
- one (1) conforming electronic copy of the original proposal.

The original proposal must carry original signatures and be clearly marked on the cover as “Original.” Unsigned proposals will not be evaluated. The original proposal and each conforming copy of the proposal must be complete, properly formatted and outlined, and ready for evaluation by the Screening Committee. The electronic copy of the proposal must be compatible with Microsoft Office Word. For the electronic copy, required forms and appendices may be scanned and submitted in Portable Document Format (PDF) or similar file format.

11. **Multiple Proposals.** Multiple proposals from the same institution will be accepted, as long as the research proposals have different goals, Principal Investigators, budgets and staff.

12. **Declaration of Confidential Information.** Proposers are advised that all materials associated with this procurement are subject to the terms of the Freedom of Information Act (FOIA), the Privacy Act, and all rules, regulations and interpretations resulting from them. If a proposer deems that certain information required by this RFP is confidential, the proposer must label such information as CONFIDENTIAL. In Section C of the proposal submission, the proposer must reference where the information labeled CONFIDENTIAL is located in the proposal. **EXAMPLE:** Section G.1.a. For each subsection so referenced, the proposer must provide a convincing explanation and rationale sufficient to justify an exemption of the information from release under the FOIA. The explanation and rationale must be stated in terms of (a) the prospective harm to the competitive position of the proposer that would result if the identified information were to be released and (b) the reasons why the information is legally exempt from release pursuant to C.G.S. § 1-210(b).
13. Conflict of Interest - Disclosure Statement. Proposers must include a disclosure statement concerning any current business relationships (within the last three (3) years) that pose a conflict of interest, as defined by C.G.S. § 1-85. A conflict of interest exists when a relationship exists between the proposer and a public official (including an elected official) or State employee that may interfere with fair competition or may be adverse to the interests of the State. The existence of a conflict of interest is not, in and of itself, evidence of wrongdoing. A conflict of interest may, however, become a legal matter if a proposer tries to influence, or succeeds in influencing, the outcome of an official decision for their personal or corporate benefit. The Department will determine whether any disclosed conflict of interest poses a substantial advantage to the proposer over the competition, decreases the overall competitiveness of this procurement, or is not in the best interests of the State. In the absence of any conflict of interest, a proposer must affirm such in the disclosure statement. Example: “[name of proposer] has no current business relationship (within the last three (3) years) that poses a conflict of interest, as defined by C.G.S. § 1-85.”

D. PROPOSAL FORMAT

1. Required Outline. All proposals must follow the required outline presented in Section IV – Proposal Outline. Proposals that fail to follow the required outline will be deemed non-responsive and not evaluated.

2. Cover Sheet. The Cover Sheet is Page 1 of the proposal. Proposers must complete and use the Cover Sheet form provided by the Department in Section V. I – Forms.

3. Table of Contents. All proposals must include a Table of Contents that conforms to the required proposal outline. (See Section IV.)

4. Executive Summary. Proposals must include a high-level summary, written in non-scientific language, not exceeding 2 pages, of the main proposal and cost proposal. The principal investigator must complete the Executive Summary. For projects with multiple investigators, the lead investigator must be indicated. The Executive Summary must include the Title of the Project, the amount requested, the name of the principal investigator and any other investigators who will work on the project, the name of the Institution/Hospital, the names and affiliations of any collaborators and a one-sentence summary of the project (i.e., This Project’s purpose is to...).

5. Attachments. Attachments other than the required Appendices or Forms identified in Sections V and VI are not permitted and will not be evaluated. Further, the required Appendices or Forms must not be altered or used to extend, enhance, or replace any component required by this RFP. Failure to abide by these instructions will result in disqualification.

6. Style Requirements. Submitted proposals must conform to the following specifications:

- Binding Type: None specified
- Dividers: None specified
- Paper Size: 8.5 X 11 inch
- Page Limit: Narrative section of the proposal must be limited to twenty pages not including references and attachments.
- Print Style: 2-sided
- Font Size: 12 pitch
- Font Type: Arial or Times New Roman
- Margins: 1 ”
- Line Spacing: Double spaced

7. Pagination. The proposer’s name and institution must be displayed in the header of each page. All pages, including the required Appendices and Forms, must be numbered in the footer.
8. Packaging and Labeling Requirements. All proposals must be submitted in sealed envelopes or packages and be addressed to the Official Contact. The Legal Name and Address of the proposer must appear in the upper left corner of the envelope or package. **The RFP Name or Number must be clearly displayed on the envelope or package.** Any received proposal that does not conform to these packaging or labeling instructions will be opened as general mail. Such a proposal may be accepted by the Department as a clerical function, but it will not be evaluated. At the discretion of the Department, such a proposal may be destroyed or retained for pick up by the submitters.

### E. EVALUATION OF PROPOSALS

1. **Evaluation Process.** It is the intent of the Department to conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this RFP. When evaluating proposals, negotiating with successful proposers, and awarding contracts, the Department will conform to its written procedures for POS procurements (pursuant to C.G.S. § 4-217) and the State’s Code of Ethics (pursuant to C.G.S. §§ 1-84 and 1-85).

2. **Screening Committee.** The Department will designate a Screening Committee to evaluate proposals submitted in response to this RFP. The contents of all submitted proposals, including any confidential information, will be shared with the Screening Committee. Only proposals found to be responsive (that is, complying with all instructions and requirements described herein) will be reviewed, rated, and scored. Proposals that fail to comply with all instructions will be rejected without further consideration. Attempts by any proposer (or representative of any proposer) to contact or influence any member of the Screening Committee may result in disqualification of the proposer.

3. **Minimum Submission Requirements.** All proposals must comply with the requirements specified in this RFP. To be eligible for evaluation, proposals must (1) be received on or before the due date and time; (2) meet the Proposal Format requirements; (3) follow the required Proposal Outline; and (4) be complete. Proposals that fail to follow instructions or satisfy these minimum submission requirements will not be reviewed further. The Department will reject any proposal that deviates significantly from the requirements of this RFP.

4. **Evaluation Criteria (and Weights).** Proposals meeting the Minimum Submission Requirements will be evaluated according to the established criteria. The criteria are the objective standards that the Screening Committee will use to evaluate the technical merits of the proposals. Only the criteria listed below will be used to evaluate proposals. The criteria are weighted according to their relative importance. The weights are disclosed below.

   - **Organizational Profile (weight: 10)**
     The extent to which the principal investigator has demonstrated successful experience conducting similar research projects.
     The extent to which the scientific environment in which the work will be done is appropriate, including whether the proposed experiments take advantage of the unique features of the scientific environment or employs useful collaboratives.
     The extent to which any subcontractors included in the proposal meet the qualifying criteria for eligibility to participate in this RFP (Section I.C.4).

   - **Scope of Services (weight: 15)**
     The extent to which the research aims and activities are described clearly, are written in plain English and cover all requirements outlined in this RFP. See Section III of this RFP.

   - **Staffing Plan (weight: 10)** see note
     Job descriptions, hours per week and hourly rates must be provided for all staff assigned to this project on the forms included in Section V.F. CVs (four-page limit) must be provided for the Principal Investigator and for all other professional staff assigned to this project.

   - **Data and Technology (weight: 10)**
     The extent to which the data driven evaluation mechanism for measuring success is realistic and provides feedback on the results of the proposed research.

   - **Subcontractors (Included in Organizational Profile above)**
5. **Proposer Selection.** Upon completing its evaluation of proposals, the Screening Committee will submit the rankings of all proposals to the Department head. The final selection of successful proposers is at the discretion of the Department head. Any proposer selected will be so notified and awarded an opportunity to negotiate a contract with the Department. Such negotiations may, but will not automatically, result in a contract. Pursuant to Governor M. Jodi Rell’s Executive Order No. 3, any resulting contract will be posted on the State Contracting Portal. All unsuccessful proposers will be notified by e-mail or U.S. mail, at the Department’s discretion, about the outcome of the evaluation and proposer selection process.

6. **Debriefing.** Within ten (10) days of receiving notification from the Department, unsuccessful proposers may contact the Official Contact and request information about the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered “day one” of the ten (10) days. If unsuccessful proposers still have questions after receiving this information, they may contact the Official Contact and request a meeting with the Department to discuss the evaluation process and their proposals. If held, the debriefing meeting will not include any comparisons of unsuccessful proposals with other proposals. The Department will schedule and hold the debriefing meeting within fifteen (15) days of the request. The Department will not change, alter, or modify the outcome of the evaluation or selection process as a result of any debriefing meeting.

7. **Appeal Process.** Proposers may appeal any aspect the Department’s competitive procurement, including the evaluation and proposer selection process. Any such appeal must be submitted to the Department head. A proposer may file an appeal at any time after the proposal due date, but not later than thirty (30) days after an agency notifies unsuccessful proposers about the outcome of the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered “day one” of the thirty (30) days. The filing of an appeal shall not be deemed sufficient reason for the Department to delay, suspend, cancel, or terminate the procurement process or execution of a contract. More detailed information about filing an appeal may be obtained from the Official Contact.

8. **Contract Execution.** Any contract developed and executed as a result of this RFP is subject to the Department’s contracting procedures, which may include approval by the Office of the Attorney General.
II. MANDATORY PROVISIONS

This section of the RFP provides information about the State’s mandatory procurement and contracting requirements, including, the standard Purchase of Service contract, proposer assurances, the terms and conditions of this RFP, the rights reserved to the State, and compliance with statutes and regulations. The Department is solely responsible for rendering decisions in matters of interpretation of all mandatory provisions. Section II is standard for all RFPs for POS and the content does not vary.

A. POS STANDARD CONTRACT, PARTS I AND II

By submitting a proposal in response to this RFP, the proposer implicitly agrees to comply with the provisions of Parts I and II of the State’s “standard contract” for POS:

Part I of the standard contract is maintained by the Department and will include the scope of services, contract performance, quality assurance, reports, terms of payment, budget, and other program-specific provisions of any resulting POS contract. A sample of Part I is available from the Department’s Official Contact upon request.

Part II of the standard contract is maintained by OPM and includes the mandatory terms and conditions of the POS contract. Part II is available on OPM’s website at:  http://www.ct.gov/opm/fin/standard_contract

Note:
Included in Part II of the standard contract is the State Elections Enforcement Commission’s notice (pursuant to C.G.S. § 9-612(g)(2)) advising executive branch State contractors and prospective State contractors of the ban on campaign contributions and solicitations. If a proposer is awarded an opportunity to negotiate a contract with the Department and the resulting contract has an anticipated value in a calendar year of $50,000 or more, or a combination or series of such agreements or contracts has an anticipated value of $100,000 or more, the proposer must inform the proposer’s principals of the contents of the SEEC notice.

Part I of the standard contract may be amended by means of a written instrument signed by the Department, the selected proposer (contractor), and, if required, the Attorney General’s Office. Part II of the standard contract may be amended only in consultation with, and with the approval of, the Office of Policy and Management and the Attorney General’s Office.

B. ASSURANCES

By submitting a proposal in response to this RFP, a proposer implicitly gives the following assurances:

1. **Collusion.** The proposer represents and warrants that the proposer did not participate in any part of the RFP development process and had no knowledge of the specific contents of the RFP prior to its issuance. The proposer further represents and warrants that no agent, representative, or employee of the State participated directly in the preparation of the proposer’s proposal. The proposer also represents and warrants that the submitted proposal is in all respects fair and is made without collusion or fraud.

2. **State Officials and Employees.** The proposer certifies that no elected or appointed official or employee of the State has or will benefit financially or materially from any contract resulting from this RFP. The Department may terminate a resulting contract if it is determined that gratuities of any kind were either offered or received by any of the aforementioned officials or employees from the proposer, contractor, or its agents or employees.

3. **Competitors.** The proposer assures that the submitted proposal is not made in connection with any competing organization or competitor submitting a separate proposal in response to this RFP. No attempt has been made, or will be made, by the proposer to induce any other organization or competitor to submit, or not submit, a proposal for the purpose of restricting competition. The proposer further assures that the proposed costs have been arrived at independently, without consultation, communication, or agreement with any other organization or competitor for the purpose of restricting competition. Nor has the proposer knowingly disclosed the proposed costs on a prior basis, either directly or indirectly, to any other organization or competitor.
4. **Validity of Proposal.** The proposer certifies that the proposal represents a valid and binding offer to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto. The proposal shall remain valid for a period of 180 days after the submission due date and may be extended beyond that time by mutual agreement. At its sole discretion, the Department may include the proposal, by reference or otherwise, into any contract with the successful proposer.

5. **Press Releases.** The proposer agrees to obtain prior written consent and approval of the Department for press releases that relate in any manner to this RFP or any resultant contract.

**C. TERMS AND CONDITIONS**

*By submitting a proposal in response to this RFP, a proposer implicitly agrees to comply with the following terms and conditions:*

1. **Equal Opportunity and Affirmative Action.** The State is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities.

2. **Preparation Expenses.** Neither the State nor the Department shall assume any liability for expenses incurred by a proposer in preparing, submitting, or clarifying any proposal submitted in response to this RFP.

3. **Exclusion of Taxes.** The Department is exempt from the payment of excise and sales taxes imposed by the federal government and the State. Proposers are liable for any other applicable taxes.

4. **Proposed Costs.** No cost submissions that are contingent upon a State action will be accepted. All proposed costs must be fixed through the entire term of the contract.

5. **Changes to Proposal.** No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, the Department may request and authorize proposers to submit written clarification of their proposals, in a manner or format prescribed by the Department, and at the proposer’s expense.

6. **Supplemental Information.** Supplemental information will not be considered after the deadline submission of proposals, unless specifically requested by the Department. The Department may ask a proposer to give demonstrations, interviews, oral presentations or further explanations to clarify information contained in a proposal. Any such demonstration, interview, or oral presentation will be at a time selected and in a place provided by the Department. At its sole discretion, the Department may limit the number of proposers invited to make such a demonstration, interview, or oral presentation and may limit the number of attendees per proposer.

7. **Presentation of Supporting Evidence.** If requested by the Department, a proposer must be prepared to present evidence of experience, ability, data reporting capabilities, financial standing, or other information necessary to satisfactorily meet the requirements set forth or implied in this RFP. The Department may make onsite visits to an operational facility or facilities of a proposer to evaluate further the proposer’s capability to perform the duties required by this RFP. At its discretion, the Department may also check or contact any reference provided by the proposer.

8. **RFP Is Not An Offer.** Neither this RFP nor any subsequent discussions shall give rise to any commitment on the part of the State or the Department or confer any rights on any proposer unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the proposer and the Department and will supersede all prior negotiations, representations or agreements, alleged or made, between the parties. The State shall assume no liability for costs incurred by the proposer or for payment of services under the terms of the contract until the successful proposer is notified that the contract has been accepted and approved by the Department and, if required, by the Attorney General’s Office.
D. RIGHTS RESERVED TO THE STATE
By submitting a proposal in response to this RFP, a proposer implicitly accepts that the following rights are reserved to the State:

1. **Timing Sequence.** The Department shall ultimately determine the timing and sequence of events associated with this RFP.

2. **Amending or Canceling RFP.** The Department reserves the right to amend or cancel this RFP on any date and at any time, if the Department deems it to be necessary, appropriate, or otherwise in the best interests of the State.

3. **No Acceptable Proposals.** In the event that no acceptable proposals are submitted in response to this RFP, the Department may reopen the procurement process, if it is determined to be in the best interests of the State.

4. **Award and Rejection of Proposals.** The Department reserves the right to award in part, to reject any and all proposals in whole or in part, for misrepresentation or if the proposal limits or modifies any of the terms, conditions, or specifications of this RFP. The Department may waive minor technical defects, irregularities, or omissions, if in its judgment the best interests of the State will be served. The Department reserves the right to reject the proposal of any proposer who submits a proposal after the submission date and time.

5. **Sole Property of the State.** All proposals submitted in response to this RFP are to be the sole property of the State. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State, unless stated otherwise in this RFP or subsequent contract. The right to publish, distribute, or disseminate any and all information or reports, or part thereof, shall accrue to the State without recourse.

6. **Contract Negotiation.** The Department reserves the right to negotiate or contract for all or any portion of the services contained in this RFP. The Department further reserves the right to contract with one or more proposer for such services. After reviewing the scored criteria, the Department may seek Best and Final Offers (BFO) on cost from proposers. The Department may set parameters on any BFOs received.

7. **Clerical Errors in Award.** The Department reserves the right to correct inaccurate awards resulting from its clerical errors. This may include, in extreme circumstances, revoking the awarding of a contract already made to a proposer and subsequently awarding the contract to another proposer. Such action on the part of the State shall not constitute a breach of contract on the part of the State since the contract with the initial proposer is deemed to be void *ab initio* and of no effect as if no contract ever existed between the State and the proposer.

8. **Key Personnel.** When the Department is the sole funder of a purchased service, the Department reserves the right to approve any additions, deletions, or changes in key personnel, with the exception of key personnel who have terminated employment. The Department also reserves the right to approve replacements for key personnel who have terminated employment. The Department further reserves the right to require the removal and replacement of any of the proposer’s key personnel who do not perform adequately, regardless of whether they were previously approved by the Department.

E. STATUTORY AND REGULATORY COMPLIANCE
By submitting a proposal in response to this RFP, the proposer implicitly agrees to comply with all applicable State and federal laws and regulations, including, but not limited to, the following:

1. **Freedom of Information, C.G.S. § 1-210(b).** The Freedom of Information Act (FOIA) generally requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content of the document falls within certain categories of exemption, as defined by C.G.S. § 1-210(b). Proposers are generally advised not to include in their proposals any confidential information. If the proposer indicates that certain documentation, as required by this RFP, is submitted in confidence, the State will endeavor to keep said information confidential to the extent permitted by law. The State has no obligation to initiate, prosecute, or defend any legal proceeding or to seek a
protective order or other similar relief to prevent disclosure of any information pursuant to a FOIA request. The proposer has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. While a proposer may claim an exemption to the State's FOIA, the final administrative authority to release or exempt any or all material so identified rests with the State. In no event shall the State or any of its employees have any liability for disclosure of documents or information in the possession of the State and which the State or its employees believe(s) to be required pursuant to the FOIA or other requirements of law.

2. **Contract Compliance, C.G.S. § 4a-60 and Regulations of CT State Agencies § 46a-68j-21 thru 43, inclusive.**
   CT statute and regulations impose certain obligations on State agencies (as well as contractors and subcontractors doing business with the State) to insure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons.

3. **Consulting Agreements, C.G.S. § 4a-81.** Proposals for State contracts with a value of $50,000 or more in a calendar or fiscal year, excluding leases and licensing agreements of any value, shall include a consulting agreement affidavit attesting to whether any consulting agreement has been entered into in connection with the proposal. As used herein "consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of C.G.S. Chapter 10 as of the date such affidavit is submitted in accordance with the provisions of C.G.S. § 4a-81. The Consulting Agreement Affidavit (OPM Ethics Form 5) is available on OPM’s website at [http://www.ct.gov/opm/fin/ethics_forms](http://www.ct.gov/opm/fin/ethics_forms)

**IMPORTANT NOTE:** A proposer must complete and submit OPM Ethics Form 5 to the Department with the proposal.

4. **Gift and Campaign Contributions, C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell’s Executive Orders No. 1, Para. 8 and No. 7C, Para. 10; C.G.S. § 9-612(g)(2).** If a proposer is awarded an opportunity to negotiate a contract with an anticipated value of $50,000 or more in a calendar or fiscal year, the proposer must fully disclose any gifts or lawful contributions made to campaigns of candidates for statewide public office or the General Assembly. Municipalities and CT State agencies are exempt from this requirement. The gift and campaign contributions certification (OPM Ethics Form 1) is available on OPM’s website at [http://www.ct.gov/opm/fin/ethics_forms](http://www.ct.gov/opm/fin/ethics_forms)

**IMPORTANT NOTE:** The successful proposer must complete and submit OPM Ethics Form 1 to the Department prior to contract execution.

5. **Nondiscrimination Certification, C.G.S. §§ 4a-60(a)(1) and 4a-60a(a)(1).** If a proposer is awarded an opportunity to negotiate a contract, the proposer must provide the Department with written representation or documentation that certifies the proposer complies with the State’s nondiscrimination agreements and warranties. A nondiscrimination certification is required for all State contracts – regardless of type, term, cost, or value. Municipalities and CT State agencies are exempt from this requirement. The nondiscrimination certification forms are available on OPM’s website at [http://www.ct.gov/opm/fin/nondiscrim_forms](http://www.ct.gov/opm/fin/nondiscrim_forms)

**IMPORTANT NOTE:** The successful proposer must complete and submit the appropriate nondiscrimination certification form to the awarding Department prior to contract execution. See Section VI.
In sections A and B below, the Department provides proposers with background information about the Department and program. Sections C and D below outline the requirements for the proposal.

A. DEPARTMENT OVERVIEW

The Connecticut Department of Public Health (DPH) is the state’s leader in public health policy and advocacy. The agency is the center of a comprehensive network of public health services, and is a partner to local health departments for which it provides advocacy, training and certification, technical assistance and consultation, and specialty services such as risk assessment that are not available at the local level. The agency is a source of accurate, up-to-date health information to the Governor, the Legislature, the federal government and local communities. This information is used to monitor the health status of Connecticut’s residents, set health priorities and evaluate the effectiveness of health initiatives. The agency is a regulator focused on health outcomes, maintaining a balance between assuring quality and administrative burden on the personnel, facilities and programs regulated. The agency is a leader on the national scene through direct input to federal agencies and the United States Congress.

Mission Statement for the CT Department of Public Health

To protect and improve the health and safety of the people of Connecticut by:

- Assuring the conditions in which people can be healthy;
- Promoting physical and mental health, and
- Preventing disease, injury, and disability.

Purchase of Service Overview

The overall goal of competitive procurement is to achieve an open, transparent, fair contracting process that encourages competition and helps achieve cost-effective, standardized contracts/processes and enhances and achieves accountability by and among contractors. DPH does not currently issue consolidated contracts thereby eliminating the need to unbundle services in order to solicit competition. DPH generally issues multiple contracts within service groups with uniform starting dates conforming to the start of the financial fiscal year of the funding source. It is therefore logical to initiate competition for an entire service group when possible.

B. PROGRAM OVERVIEW

Pursuant to Connecticut General Statute 19a-32c, the Department of Public Health will solicit proposals to provide grants-in-aid for biomedical research in the fields of heart disease and cancer as well as tobacco-related diseases. Eligible applicants include Connecticut-based, nonprofit, tax-exempt academic institutions and hospitals that conduct biomedical research. The Department of Public Health is in the sixth year of this project, and to date has funded twenty-seven research projects totaling $8,155,675. In the current year, there is an additional $2,421,000 available for distribution through a competitive Request for Proposal process.

C. MAIN PROPOSAL COMPONENTS

1. Organizational Requirements

a. Applicant Contact Information

The proposal must contain the official name, address and phone number of the applicant, the principal contact person for the proposal, and the name and signature of the person (or persons) authorized to execute the contract.
b. Applicant Agency Information

Please provide the name, title, address, telephone and FAX number of staff persons responsible for the completion and submittal of:

1. Contract and legal documents/forms
2. Program progress reports
3. Financial expenditure reports

c. Legal Status of Agency

Please indicate whether or not the agency is incorporated, the type of agency applying for funding, the fiscal year for the applicant agency, the agency’s federal employer ID number and/or town code number, the applicant’s Medicaid provider status and Medicaid number, if any, and if the applicant agency is registered as a Connecticut Minority Business Enterprise and/or Women Business Enterprise.

2. Service Requirements

The proposal must describe the scientific environment in which the work will be done, including whether the proposed experiments take advantage of the unique features of the scientific environment, including collaborative opportunities.

3. Staffing Requirements

The proposal must describe the staff assigned to this project, including the extent to which they have the appropriate training and experience to perform assigned duties. Job descriptions, hours per week, and hourly rates must be provided for all staff assigned to this project on the form included in Attachment V.F. CVs (four-page limit) must be provided for the Principal Investigator and for all other professional staff assigned to this project.

4. Data and Technology Requirements

The proposal must describe the data driven evaluation mechanism for measuring success and the providing feedback on the results of the research.

5. Work Plan and Research Plan

a. Work Plan and Research Plan

A comprehensive and realistic work plan with measurable objectives describing the research project be conducted must be provided on the Application Forms included in Attachment V. The work plan and the project start date will be considered as part of the review criteria for this RFP.

The work plan and research plan shall include a comprehensive description of the:

- Hypothesis statement
- Statement of need
- Goals and measurable objectives
- Activities (include staff responsible)
- Evaluation Plan (include staff responsible)
- Connecticut populations at risk that may benefit from this research, and the magnitude of the population that may benefit.
- Timetable (the extent to which the proposed research is feasible within the time allotted.)
b. Deliverables

In the course of conducting the agreed upon research activities for the awarded contract, several documents must be produced and delivered immediately upon completion to the DPH Project Manager for approval. These documents, along with the required services, will be the indicators for measuring the performance of the contractor. Submission of quarterly progress reports must be included as objectives in the project work plan described in Section III of this RFP (work plan forms are included in Attachment V). In addition, principal investigators are required to submit a final report to DPH. Reports shall:

- summarize project activity for the contract period,
- describe progress with reference to scheduled milestones,
- identify any significant scientific developments,
- describe collaborative work,
- describe any problems encountered,
- include a two-page summary in lay language suitable for the public and press.

A payment schedule will be determined during the contract negotiation process.

D. COST PROPOSAL COMPONENT

The purpose of this subsection is to gather information about how the proposer developed the proposed budget and cost allocations.

The proposal must contain an itemized budget with justification for each line item on the budget forms included in the Application in Attachment IV.1. All costs (travel, printing, supplies, etc.) must be included in the contract price. **Competitiveness of the budget will be considered as part of the proposal review process.** Applicants must determine the rate for indirect costs. **However, indirect costs at or below 15% will be looked upon more favorably during the proposal review process.** Please list additional funding either received or applied for to support this proposal.

Where subcontractors are proposed, the subcontractor must meet the qualifying criteria described on page 1 of the RFP (Eligibility). The selected Contractor must provide DPH with four copies of the subcontract. All information required of the contractor must be applied to the subcontractor as well. **Copies of state set aside certifications for small and/or minority business must also be provided.**

The maximum amount of the bid may not be increased after the proposal is submitted. All cost estimates will be considered as "not to exceed" quotations against which time and expenses will be charged.

The proposed budget is subject to change during the contract award negotiations.

Payments will be negotiated based on time frames and deliverables described in Section V of this RFP.

State agency applicants must include fringe benefit costs in the budget.

The State of Connecticut is exempt from the payment of excise, transportation and sales taxes imposed by the Federal and/or state government. Such taxes must not be included in contract prices.
This section presents the **required** outline that must be followed when submitting a proposal in response to this RFP. Proposals must include a Table of Contents that exactly conforms to the required proposal outline (below). Proposals must include all the components listed below, in the order specified, using the prescribed lettering and numbering scheme. Incomplete proposals will not be evaluated. While the proposal outline is standard, the information requested from proposers will vary by RFP, depending of the Department’s procurement requirements.

### IV. PROPOSAL OUTLINE

A. **Cover Sheet** .............................................. 1

B. **Table of Contents** ................................. 2

C. **Declaration of Confidential Information** ............ Etc.

D. **Conflict of Interest - Disclosure Statement** ..........

E. **Executive Summary** .............................................

F. **Main Proposal** .............................................

   1. **Organizational Profile** ...................................

      a. **Applicant Contact Information**

      b. **Applicant Agency Information**

      c. **Legal Status of Agency**

   2. **Scope of Services** ...........................................

   3. **Staffing Plan** ..........................................

   4. **Data and Technology** ....................................

   5. **Subcontractors** ..........................................

*If Section F.2 includes the use of any subcontractors for the provision or delivery of a service, the purpose of this subsection is to gather information about the administrative and operational capabilities of each such subcontractor. The specifics of the information requested are left to the Department's discretion. Possible areas of inquiry may include, but are not limited, to the following:*

   a. **Legal Name of Agency, Address, FEIN** .............

   b. **Contact Person, Title, Phone, Fax, E-mail** ........

   c. **Services Currently Provided** ..........................

   d. **Services To Be Provided Under Subcontract** ........

   e. **Subcontractor Oversight** ..............................

   f. **Subcontract Cost and Term** ............................
6. Work Plan and Research Plan

a. Work Plan and Research Plan

A comprehensive and realistic work plan with measurable objectives describing the research project must be provided on the Application Forms included in Section V. The work plan must include the goal of each experiment, methods used for the experiment, measures of success and the timeframe for the experiment. The work plan and the project start date will be considered as part of the review criteria for this RFP. A comprehensive research plan must be provided on Application Forms included in Section V. This research plan must be written in non scientific language suitable for inclusion in the contract. The research plan must include the goals of the experiment, methods of each experiment, staff responsible, expected outcomes of each experiment and the timeframe for each experiment.

b. Deliverables

G. Cost Proposal

1. Financial Profile

2. Budget and Budget Narrative

H. Appendices

1. Resumes of Professional Staff

2. Proposer Checklist

I. Forms

The proposal must be completed using the application forms provided in Section V.