



## Request for Proposals (RFP)

### Senior Compliance and Ethics Advisor

The Public Health Institute (PHI) is seeking proposals to provide Senior Compliance and Ethics Advisor (SCEA) services to the organization. The goal of the virtual SCEA is to play a strategic role in advising PHI's Compliance and Ethics department to optimally support our mission. The SCEA will provide a strategic mindset to leverage organizational capabilities and enhance current compliance and ethics priorities. The SCEA must be experienced and practical in providing recommendations that further integrate compliance and ethics into our culture, operations, research and the programs that the Institute supports.

#### SUBMISSION OF PROPOSALS & CLOSING TIME

Please submit questions and proposals to: Kristine Smith, [ksmith2@phi.org](mailto:ksmith2@phi.org)

Questions are due by: December 31, 2024

Proposals are due by: January 10, 2025

#### BACKGROUND

PHI (<https://www.phi.org>) is dedicated to improving health and wellness by discovering new research, strengthening key partnerships and programs, and advancing sound health policies. During its more than 60 years as an independent nonprofit, the Public Health Institute has led and managed hundreds of projects and programs ranging from single contracts to large, multi-site research programs with national and international significance. PHI has close to 1,000 total employees, with approximately 135 central office staff supporting program employees in more than 60 different public health related programs.

PHI seeks a sophisticated compliance and ethics professional to provide best practices associated with an integrated compliance and ethics program for a complex non-profit organization. In collaboration with executive leadership, functional business leads, program directors, and the Board of Directors, the SCEA will provide actionable recommendations to strengthen and communicate the overall strategic vision for the Institute's compliance and ethics program.

#### SCOPE OF WORK

The Scope of Work, which may be further defined in the final executed contract between the selected service provider and PHI, is described below.

- Provide regulatory knowledge and understanding of the practical application of the US Department of Justice, Federal Sentencing Guidelines, and the HHS, Office of Inspector General Guidance assessing the effectiveness of compliance and ethics programs.
- Provide expertise to interpret the regulations, rules, laws and policies necessary to stay in compliance with existing requirements for the organization.

- Partner with compliance and ethics staff, the General Counsel, President and CEO, senior leadership and the Board of Directors as appropriate, to provide best practices in the field regarding program development, monitoring, reporting and strengthening the compliance culture across the organization.
- Coordinate with IT consultants, internal IT department staff and Program leaders to develop and communicate sponsored program cyber security baseline standards and implementation road map.
- In partnership with the Compliance and Ethics department, keep the organization informed about relevant laws and regulations to ensure the organization's ongoing compliance with data protection standards and cybersecurity trends.
- Partner closely with Compliance and Ethics department regarding business process and system modernization-related efforts to ensure compliance and ethics standards are incorporated.
- Support the development of training programs to foster an ethics-based culture.
- Provide guidance to strengthen compliance and ethics staff.
- Share best practices for communication, knowledge management and compliance and ethics trends to promote an informed and engaged culture within the organization.

#### **FEE STRUCTURE**

PHI is open to discussing a fee structure either as a monthly flat amount and/or an hourly rate.

#### **PROPOSAL FORMAT**

For PHI to conduct the most efficient proposal evaluation possible, interested service providers should include the following information in their submission. Submissions should not exceed 10 pages in total.

1. **Cover Letter and Provider Overview:** Cover Letter and Primary Contact Information. A brief overview of the provider's history, mission, and relevant experience.
2. **Experience and Qualifications.** A description of the provider's experience providing senior strategic IT services, particularly in nonprofit organizations. Experience with fiscal sponsors is a plus. If relevant, please provide a list of the provider's certifications and qualifications related to IT service delivery and management.
3. **Approach to providing services.** A description of the provider's process for assessing the nonprofit organization's IT needs and developing a plan for addressing those needs.
4. **Proposed Fee Structure.** A proposed fee structure that falls within the range specified above.
5. **Diversity and inclusion.** Information on small business certifications, description of commitment to diversity and equitable and inclusive practices.
6. **References.** A list of references from other nonprofit organizations who have received similar services from the provider.

## **EVALUATION CRITERIA**

The following evaluation criteria will be utilized to evaluate the proposals by an internal evaluation team from PHI. Proposals will be evaluated based on the criteria outlined below.

1. Provider skills and experience as aligned with PHI's organizational needs, including client references
2. Cost and Value
3. Commitment to diversity and equitable and inclusive practices

## **LOCATION**

Remote. Ability to accommodate Pacific Time Zone hours is important. Consideration of any in-person meetings will be discussed separately.

## **TIMELINE**

Anticipated one year commitment, subject to contract negotiation

## **SOLICITATION GUIDELINES**

### **1. Confidentiality**

All non-public information concerning this RFP, including any related information that is subsequently disclosed by PHI during the proposal process, is PHI's confidential information. Respondents will not disclose any non-public information or use it for any purpose other than responding to the RFP without PHI's prior written consent, except as required by law. Submission of a proposal constitutes acceptance of these terms.

### **2. Discretion and Not Binding**

This RFP is a solicitation for proposals only and neither the issuance of this RFP nor the submission of a responsive proposal shall be binding on PHI. PHI reserves the right to accept or reject any or all proposals, or to cancel this RFP for any reason or no reason at any time. No binding agreement shall exist with respect to the provision of services for the Project Description, unless and until a definitive agreement has been fully executed in writing by both PHI and the selected Respondent. PHI shall not be liable under any circumstances for any expenses incurred by any Respondent in connection with the RFP, proposal submission or selection process.

### **3. Pricing**

Prices must be inclusive of all costs, including taxes and fees, in U.S. dollars. Rates should remain valid for 180 days from submission.

### **4. Proposal Costs**

There is no reimbursement for costs associated with preparing or submission of proposals in response to this RFP or costs associated with possible award negotiation.

### **5. Right to Waive Re-proposal**

PHI reserves the right to waive irregularities and technicalities and request re-proposals.

### **6. Conflict of Interest**

All Respondents must disclose with their RFP the name of any officer, director or agent who is also

an employee of PHI. Further, all Respondents must disclose the name of any PHI employee who owns, directly or indirectly, an interest of more than five percent (5%) in the Respondent's provider, subsidiaries, branches, or parent company.

#### **7. Federal and State Tax**

PHI is exempt from federal tax, state sales and service tax and state tax for tangible personal property. Respondents doing business with PHI shall not be exempted from paying sales tax to their suppliers for materials to fulfill contractual obligations with PHI, nor shall any Respondent be authorized to use the PHI's tax exemption number in securing such materials.

#### **8. Contingency Fees**

The Respondent warrants that no person or selling agency has been employed or retained to solicit or secure a contract herewith for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide established commercial or selling agencies maintained by the proposer for the purpose of securing business. For breach of violation of this warrant, the board shall have the right to annul any resolving contract without liability or, in its decision, to deduct from the contract price without consideration or otherwise recover the full amount of such commissions, percentage, brokerage or contingent fee.

#### **9. Compliant Proposals**

Respondents are advised to study all instructions, requirements, and other information in this RFP carefully. Respondents must:

- Comply with all requirements set out in this RFP
- Respond to each element in the order as set out in this RFP
- Include all supporting documentation as specified in this RFP
- Submit proposals as specified in this RFP

#### **DIVERSITY AND INCLUSION**

PHI is dedicated to promoting diversity, equity, and inclusion in its procurement of goods and services. Pursuant to PHI's commitment to diversity and inclusion, PHI encourages participation of providers that can provide documentation of their commitment to diversity and equitable and inclusive practices and are certified as any of the following businesses:

- WOSB: Women-Owned Small Business
- SDVO: Service-Disabled Veteran-Owned Business
- HUBZone: Historically Underutilized Business Zone
- SDB: Small Disadvantaged Business
- 8(a)BD: African American, Asian Pacific American, Hispanic American, Native American, Subcontinent Asian American