

Request for Proposals for Enterprise Resource Management Solution

Massachusetts Life Sciences Center
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RFP Issued:	Wed, August 1, 2018
Vendor Questions Due:	Friday, August 17, 2018 by 5pm EDT
Answers to Questions Posted:	Wed, August 22, 2018
Responses Due:	Monday, September 3, 2018 by 5pm EDT
Notification of Shortlisted Vendors:	By Friday, September 7, 2018
Vendor Demonstrations:	Monday, September 18 – Friday September 28, 2018
Final Vendor Selection & Negotiation:	Friday, October 5, 2018
Master Services Agreement signed:	By Friday, October 12, 2018

1 Introduction

1.1 Summary

The Massachusetts Life Sciences Center (“MLSC”) is issuing this Request for Proposals for Enterprise Resource Management Solution (“RFP”) to solicit responses from firms interested in providing software, implementation services, training and ongoing support. After careful review of responses received and associated due diligence performed by MLSC, the Board of Directors of the MLSC will approve one or two firms to perform the below described services.

Respondents will be competing against each other for selection to provide the services as more fully described in Section 2. The submissions of all Respondent firms shall be compared and evaluated pursuant to the evaluation criteria set forth in this RFP. Any firm interested in providing the Enterprise Resource Management Software Solution Services requested in this RFP must – (i) respond to this RFP; and (ii) if selected, execute MLSC’s Master Agreement for Services (the “Master Agreement”), appended hereto as Attachment C (see Section 3.1(d) for more detail regarding the Master Agreement).

RESPONDENTS PLEASE NOTE:

- Individuals performing Enterprise Resource Management Solution to the MLSC may be considered to be “special state employees” subject to the provisions of the Massachusetts Conflict of Interest Law (M.G.L. c.268A). The MLSC’s Master Agreement requires contractors to certify, among other things, compliance with the Conflict of Interest law.
- Selection of a Respondent under this RFP does not commit the MLSC to procuring any services pursuant to this RFP.

1.2 The Massachusetts Life Sciences Center

The MLSC is a quasi-public agency of the Commonwealth of Massachusetts, created by the Massachusetts legislature. The MLSC, an investment agency, is charged with implementing Massachusetts’s \$1.6-billion, state-funded initiative to support the life sciences ecosystem through grants, loans, capital infrastructure funding and tax incentives. The MLSC offers the nation’s most comprehensive set of incentives and collaborative programs targeted towards the life sciences. These programs propel the growth that has made Massachusetts the global leader in the industry.

2 Services Required

2.1 Context

The MLSC is looking to modernize its’ operations from predominantly manual, spreadsheet-based to a cohesive system of applications that will allow efficiencies in various processes with the goal of becoming a paperless oriented organization.

- A. Internal MLSC Operations:
MLSC currently has up to 25 employees (full-time and co-ops/interns), all centrally located in one location. Regular day to day operations include regular, recurring vendor management such as paying office rent, purchasing office supplies, employee expense reimbursement for local in-state travel (some out-of-state travel, limited in nature) and other office management related transactions. The volume of transactions of this nature is low, approximately 10-20 invoices are processed through our accounts payable on a weekly basis.

The routine processes involved are currently using excel templates, manually submitted to the appropriate personnel for review and approval and routed to our accounts payable process (see Section C for further detail). MLSC is looking to automate the following routine processes:

- Purchase Order/Request System

- Invoice approval
- Employee travel expense reimbursement
- Timesheets and earned time off (ETO) reporting
- Vendor contracts review and execution

B. Post-Award Management Operations:

MLSC receives funding from the Commonwealth of Massachusetts to run its operations and accomplish its mission. The funding for MLSC comes in three different mechanics: direct state appropriation, reimbursement of capital bond fund, and tax incentives (no funds flow through the MLSC). MLSC runs a variety of different programs throughout the year (currently 10 for fiscal year 2019), with approximately 300+ active awards that require on-going management on a multi-year basis, and approximately 500+ internship reimbursements on an annual basis.

MLSC currently uses Smart Simple application system to manage the competitive application and review process (pre-award management). MLSC is looking for a system that can handle the post-award management routine tasks such as:

- Award Agreements review and execution workflow and tracking
- Amendment requests, review and execution workflow and tracking
- Ability to manage individual award/grant from agreement to close-out process
- Award Deliverables tracking (i.e. quarterly progress reporting, annual reports, etc.) against due dates
- Award reporting collections (capabilities to send custom reports to external contacts for information reporting), tracking, storage, and reporting
- Invoice review and approval workflow
- Payment tracking against award amount
- Dashboard reporting of program metrics
- Ability to create and customize reports at program level (multiple awards) as well as at award level
- Ability to store and organize the associated deliverables to the award for easy reference and to provide auditable records for state and independent audit purposes

C. Procurement, Accounts Payable and Accounting

MLSC uses another quasi government agency to do the day to day accounting operations using Abila MIP: accounts payable processing, payroll, journal entry recording. MLSC Finance staff do not have user access to enter and post information, only reporting capabilities. The other agency is located at a different office location, necessitating providing them the materials needed for processing, invoices as well as other applicable paperwork scanned and either e-mailed or uploaded into google drive. Please see below for more specific processes:

Procurement

- MLSC as a state agency is required to follow a competitive procurement process, MLSC's policy outlines various options (RFP, mini-bid, and the required documentation and levels of approvals that is required to be provided before a purchase can be authorized.
- All vendor related purchases of at least \$100 require a Purchase Order
- A Purchase Order is completed using a manual excel template by personnel seeking to purchase goods or services for MLSC and depending on the amount of the purchase, varying levels of approval are required to signify that the appropriate procurement method has been followed.
- Once completed and signed by the required personnel, the Purchase Order is submitted to Finance to be logged. The Purchase Order is assigned a number and communicated back to the requestor.

Accounts Payable:

- Both vendor invoices and award related invoices are received by MLSC either via regular mail, or email.
- On a weekly basis, the accounts payable batch is comprised of vendor invoices, employee expense reimbursements, and award related reimbursements.

- Vendor invoices are validated by the appropriate personnel to ensure that related goods or services have been received, initialed "ok to pay" and forwarded to the Finance team at MLSC.
- Finance team reviews the invoices against the purchase order log to make sure that the purchase has been authorized, redacts the purchase order manually if invoice is only for a portion of the purchase order, assigns general ledger chart of accounts code for proper processing.
- Employee expense reimbursements are signed by the employee's manager and then submitted to the Finance Team for review to ensure all supporting receipts and documentations have been provided, mileage has been calculated appropriately and expenses are in compliance with MLSC's travel reimbursement policy.
- Award related invoices are validated by the program personnel to ensure that supporting documentation has been provided and are in compliance based on the award terms and conditions. Depending on the complexity of the program, the invoice package is then reviewed by a secondary personnel (either on the Finance team or the Program Director/VP)
- VP of Finance reviews the accounts payable batch on a weekly basis before it is scanned and uploaded into google drive for processing by the other agency.
- The other agency enters the information provided from the google drive into the Abila MIP accounts payable module and sends an AP Register via email to the MLSC Finance team for review and approval.
- VP of Finance approves the AP register via email. Then the other agency prints either checks or ACH file
- The checks are mailed to MLSC for signatures
- ACH file is uploaded by MLSC into the online banking portal for payment.

Accounting

- Regular accounting entries are entered and posted by the other agency based on accounts payable activities and payroll.
- On a monthly basis, the MLSC Finance team reviews the general ledger activities and adjusts month-end journal entries such as accruals on excel file to be uploaded and posted into Abila MIP.
- Monthly financial statements package and account reconciliations are sent via email to MLSC for review and storage.

D. Other Applications Currently Utilized

- ADP for payroll
- Smart Simple for pre-award applications and review process
- Adaptive Insights for budgeting
- Microsoft Dynamics 365 CRM for contacts database and company relationship management

2.2 Scope of Services

MLSC is looking to implement an Enterprise Resource Management system to automate the majority if not all of its' manual processes to gain efficiencies. The system would serve as the "single source of truth", a centralized system to house all of its' records, audit-ready, with the goal of moving the MLSC toward a paperless environment.

MLSC is conducting a search for a secure, cloud based Enterprise Resource Management software solution that is user-friendly and has the scalability to manage MLSC's current and future grant programs.

In addition to the Enterprise Resource Management software solution, MLSC is looking for implementation services, training and ongoing support for the proposed software solution. MLSC is also looking to understand how the software solution can be integrated with its current Adaptive Insights, ADP, Microsoft Dynamics 365 CRM system, and Smart Simple (GMS 360) application system.

3 Submission of Responses

3.1 Schedule and Master Agreement for Services

- (a) The RFP process will proceed according to the following anticipated schedule –

Wed, August 1, 2018	RFP Issued
Friday, August 17, 2018 by 5pm EDT	All questions and clarification inquiries must be submitted electronically to: csadeli@masslifesciences.com
Wed, August 22, 2018	Answers to questions posted on MLSC website
Mon, September 3, 2018 by 5pm EDT	Vendor Responses due
By Friday, September 7, 2018	Notification of Shortlisted Vendors
Mon, September 17 – Friday, September 28, 2018	Vendor Demonstrations
By Friday, October 5, 2018	Final Vendor Selection & Negotiation
By Friday, October 12, 2018	Master Services Agreement signed

- (b) **Responses will be due no later than 5 pm EDT on September 3, 2018** and must be submitted electronically to: csadeli@masslifesciences.com. Responses received later than the date and time specified will not be considered. MLSC assumes no responsibility or liability for late delivery or receipt of responses.
- (c) The responses will be evaluated pursuant to the criteria set forth in this RFP. Notification of selection or non-selection of all Respondents who submitted conforming responses will be emailed when the selection process is final.
- (d) *Master Agreement for Services:* The selected Respondent(s) will execute the standard Master Agreement in substantially the form appended hereto as Attachment C. The MLSC reserves the right to amend the Master Agreement without further issuance of another RFP. The Master Agreement and any work orders issued to Respondent will be managed for MLSC by its Contracts Administrator and relevant Project Manager.

3.2 Questions

Questions regarding this RFP must be submitted to: csadeli@masslifesciences.com

All questions must be in writing and received by 5:00 pm EDT on **Friday, August 17, 2018**. Submission of questions by email is required.

Instructions for Submission of Responses

Respondents are cautioned to read carefully and conform to the requirements of this RFP. Failure to comply with the provisions of this RFP may serve as grounds for rejection of a response.

- (a) All responses must be submitted electronically in PDF format to: csadeli@masslifesciences.com
- (b) A statement indicating compliance with the terms, conditions and specifications contained in this RFP must be presented in the response. Submission of the signed Authorized Respondent's Signature and Acceptance Form (Attachment B) shall satisfy this requirement.
- (c) Any and all data, materials and documentation submitted to MLSC in response to this RFP shall become MLSC's property and shall be subject to public disclosure under the Massachusetts Public Records Act. If Respondents wish to submit confidential information, please identify such materials as "Confidential Information" at the time of submission. In this regard, Respondents are required to sign the Authorized Respondent's Signature & Acceptance Form, set forth as Attachment B hereto.

RESPONDENTS PLEASE NOTE : BY EXECUTING THE AUTHORIZED RESPONDENT’S SIGNATURE AND ACCEPTANCE FORM AND SUBMITTING A RESPONSE TO THIS RFP , RESPONDENT CERTIFIES THAT IT (1) ACKNOWLEDGES AND UNDERSTANDS THE PROCEDURES FOR HANDLING MATERIALS SUBMITTED TO MLSC, AS SET FORTH IN ATTACHMENT A HERETO, (2) AGREES TO BE BOUND BY THOSE PROCEDURES, AND (3) AGREES THAT MLSC SHALL NOT BE LIABLE UNDER ANY CIRCUMSTANCES FOR THE DISCLOSURE OF ANY MATERIALS SUBMITTED TO IT PURSUANT TO THIS RFP OR UPON RESPONDENT’S SELECTION.

3.3 Information Required

- (a) Vendor Questionnaire: Respondents should complete the **Vendor Questionnaire (Appendix 2)**
- (b) Requirements Spreadsheet: MLSC detailed functional and technical requirements are listed in **Appendix 3 – MLSC Enterprise Resource Management Requirements**. The requirements are listed in a Microsoft Excel spreadsheet and the response must be completed and submitted electronically. Please see below for the instructions –
1. There are two worksheets within the Excel spreadsheet – Functional Requirements and Technical Requirements
 2. MLSC’s “Must have” requirements are indicated with a “Y” and the “Nice to have” requirements are indicated with a “N”
 3. Using the drop-down options under the “Vendor Response” column, please select one of the following responses for each listed requirement on all the three worksheets –

M	Software solution fully meets the requirement with or without configuration at no additional cost.
C	Software solution does not meet the requirement and will need customization at an additional cost. Please provide a cost estimate in the "Vendor Comments" column.
F	Software solution currently does not meet the requirement but will be provided as a standard feature in a future release. Please provide the estimated release date in the "Vendor Comments" column.
N	Software solution does not meet the requirement.

4. To further clarify your response to the requirements, you are encouraged to use the “Vendor Comments” column. For example, if a requirement is met through third-party integration, please note this.
- (c) Tax Law Compliance: All responses must include an affidavit of compliance with all corporate filing requirements and compliance with Massachusetts State tax laws if applicable. Submission of the signed Authorized Respondent’s Signature and Acceptance Form (Attachment B) shall satisfy this requirement.

4 Evaluation Process

4.1 Criteria

The MLSC shall evaluate each Response that is properly submitted. Selection of a Respondent to provide the Enterprise Resource Management Software Solution Services will be based on the following criteria:

- (a) Vendor viability
- (b) Functional fit
- (c) Technical fit
- (d) User Interface
- (e) Ease of implementation

- (f) Customer support
- (g) Ongoing training and maintenance
- (h) Total cost of ownership

While the order of these factors does not generally denote relative importance, MLSC acknowledges that selecting best value providers primarily requires a balanced combination of (1) competitive pricing and commercial terms, and (2) strong experience and demonstrated expertise in providing Enterprise Resource Management Software Solution Services.

The MLSC reserves the right to consider such other relevant factors as it deems appropriate in order to hire the best value provider of the Enterprise Resource Management Software Solution Services. The MLSC may or may not seek additional information from Respondents prior to making a selection.

This RFP does not commit MLSC to select any firm, award any work order, pay any costs incurred in preparing a response, or procure or contract for any services or supplies. MLSC reserves the right to accept or reject any or all submittals received, cancel or modify the RFP in part or in its entirety, or change the RFP guidelines, when it is in the best interests of MLSC to do so.

4.2 Vendor Demonstrations

After MLSC has reviewed the responses of the firms responding to the RFP, MLSC will invite selected firms to participate in a demo presentation. The tentative dates for the vendor demonstrations are **Monday, September 18, 2018 to Friday, September 28, 2018**

The demonstration will provide MLSC with deeper insight into the capabilities of the software solution and provide the opportunity to ask questions. The MLSC will provide a demonstration script to the selected vendors. The MLSC, at its sole discretion will determine which vendor(s) will be chosen and how many demonstrations to schedule. The MLSC's preference is to have an in-person demonstration but will consider an online demonstration.

5 Other Provisions

5.1 General Information

- a) MLSC's Master Agreement (appended hereto as Attachment C) incorporates the Commonwealth's Terms and Conditions and shall constitute the only contract requiring execution. Additional definitions may also be identified in this RFP. All terms, conditions, requirements, and procedures included in this RFP must be met for a Response to be determined responsive. If a Respondent fails to meet any material terms, conditions, requirements or procedures, its response may be deemed unresponsive and disqualified.
- b) All responses, proposals, related documentation and information submitted in response to this RFP are subject to the Massachusetts Public Records Law, M.G. L. c. 66, §10, and to M.G.L. c. 4, §7(26), regarding public access to such documents. Any statements reserving any confidentiality or privacy rights in submitted responses must comply with the procedures set forth in Attachment A hereto. By executing the Authorized Respondent's Signature and Acceptance Form, appended hereto as Attachment B, Respondent acknowledges, understands and agrees to be bound by the procedures set forth in Attachment A, and agrees that MLSC shall not be liable under any circumstances for the subsequent disclosure of any materials submitted to it by Respondent pursuant to this RFP and/or in connection with any contract entered into between Respondent and MLSC as a result of this RFP process.
- c) Further, any selected Respondent must recognize that in the performance of the Master Agreement and any work orders issued thereunder it may become a holder of personal data (as defined in M.G.L. c. 66A) or other information deemed confidential by the Commonwealth. Respondent shall comply with the laws and regulations relating to confidentiality and privacy, including any rules or regulations of the MLSC. Any questions concerning issues of confidentiality, the submission of materials to MLSC, application of the procedures set forth in Attachment A or any other questions

related to these matters, please contact Beth Nicklas, General Counsel, at bnicklas@masslifesciences.com

- d) It is the policy of MLSC that contracts are awarded only to responsive and responsible Respondents. In order to qualify as responsive, the Respondent must respond to all requirements of the RFP in a complete and thorough manner. In order to qualify as responsible, the Respondent must demonstrate: (1) the availability of adequate resources and staffing to efficiently and expeditiously service MLSC's needs; (2) the necessary experience, organization, qualifications, skills and facilities to provide the types of Enterprise Resource Management Software Solution Services set forth in this RFP; (3) a satisfactory record of performance in the provision of the Enterprise Resource Management Software Solution Services set forth in this RFP; (4) the ability and willingness to comply with the requirements of Federal and State law relative to equal employment opportunity. **ANY PROPOSAL DETERMINED TO BE NON-RESPONSIVE TO THIS RFP, INCLUDING INSTRUCTIONS GOVERNING THE SUBMISSION OF PROPOSALS, WILL BE DISQUALIFIED WITHOUT EVALUATION UNLESS THE EVALUATION COMMITTEE DETERMINES THAT THE NONCOMPLIANCE IS INSUBSTANTIAL.**
- e) MLSC makes no guarantee that any Enterprise Resource Management Solution Services will be purchased pursuant to any Master Agreement entered into with Respondent as a result of this RFP.
- f) Unless otherwise specified in this RFP, all communications, responses, and documentation must be in English, and all cost proposals or figures in U.S. currency. All responses must be submitted in accordance with the specific terms of this RFP.
- g) Respondents are prohibited from communicating directly with any employee of MLSC except as specified in this RFP, and no other individual Commonwealth employee or representative is authorized to provide any information or respond to any questions or inquiries concerning this RFP. Respondents may contact the Procurement Team Leader for this RFP in the event this RFP is incomplete.
- h) The Procurement Team Leader may provide reasonable accommodations, including the provision of material in an alternative format, for qualified Respondents with disabilities or other hardships. Respondents requiring accommodations shall submit requests in writing, with supporting documentation justifying the accommodations, to the Procurement Team Leader. The Procurement Team Leader reserves the right to grant or reject any request for accommodations.
- i) If a Respondent is unable to meet any of the specifications required in this RFP, the Respondent must include an alternative method for meeting such specification by identifying the specification, the proposed alternative and thoroughly describing how the alternative achieves substantially equivalent or better performance to the performance required in the RFP specification. MLSC will determine if a proposed alternative method of performance achieves substantially equivalent or better performance.
- j) The goal of this RFP is to select and enter into a Master Agreement with the Respondent that will provide the best value of Enterprise Resource Management Software Solution Services to achieve the procurement goals of MLSC. Respondents are therefore invited to propose alternatives which provide substantially better or more cost-effective performance than achievable under a stated RFP specification.
- k) Costs that are not specifically identified in the Respondent's response and/or not specifically accepted by MLSC as part of the Master Agreement will not be compensated under any contract awarded pursuant to this RFP. MLSC shall not be responsible for any costs or expenses incurred by Respondents in responding to this RFP.
- l) Proposed exceptions and/or counterproposals to the Master Service Agreement are permitted to be submitted with a Response.
- m) Respondent's submitted Response shall be treated by MLSC as an accurate statement of Respondent's capabilities and experience. Should any statement asserted by Respondent prove to be inaccurate or inconsistent with the foregoing, such inaccuracy or inconsistency shall constitute sufficient cause for rejection of the Response and/or of any resulting contract. The RFP evaluation committee will rule on any such matters and will determine appropriate action.
- n) If MLSC determines that it is necessary to revise any part of this RFP, or if additional data is necessary to clarify any of its provisions, a supplement will be posted to the MLSC's website.

MLSC's RFP evaluation personnel reserve the right to amend the RFP at any time prior to the deadline for submission of responses.

- o) Submitted Responses must be valid in all respects for a minimum period of sixty (60) days after the deadline for submission.
- p) MLSC's prior approval is required for any subcontracted services under any Master Agreement entered into as a result of this RFP. Selected Respondents are responsible for the satisfactory performance and adequate oversight of their subcontractors. Subcontractors are required to meet the same requirements and are held to the same reimbursable cost standards as the selected Respondents.
- q) The Master Agreement and work orders entered into as a result of this RFP shall be on a fee for service basis. It is anticipated that MLSC shall select one or two Respondents to this RFP (depending upon services for the Internship Program) and intends to enter into a Master Agreement for Services with such Respondent(s).

5.2 Waiver Authority

MLSC reserves the right, at its sole discretion, to waive minor irregularities in submittal requirements, to request modifications of the response, to accept or reject any or all responses received, and/or to cancel all or part of this RFP at any time prior to awards.

5.3 Disclaimer

This RFP does not commit the MLSC to award any funds, pay any costs incurred in preparing a response, or procure or contract for services or supplies. The MLSC reserves the right to accept or reject any or all responses received, negotiate with all qualified Respondents, cancel or modify the RFP in part or in its entirety, or change the response guidelines, when it is in its best interests.

5.4 Changes/Amendments to RFP

This RFP has been distributed electronically using MLSC's website. It is the responsibility of respondents to check the MLSC's website for any addenda or modifications to a RFP to which they intend to respond. MLSC, the Commonwealth of Massachusetts, and its subdivisions accept no liability and will provide no accommodation to Respondents who submit a response based on an out-of-date RFP document.

APPENDIX 2

Vendor Questionnaire

Company Background

1. Please provide a brief history of your organization including information on ownership, years in business and sales growth.
2. Where is your headquarters located? Any other office locations?
3. What is your total number of employees? Approximately how many employees are within each department within your company (Management, Product Development, Implementation team, Customer Support, etc.)?
4. What portion of your business is related to Enterprise Resource Management software or technology?
5. Please describe your company's financial picture, including the company's present and long-term financial stability.
6. Please list your top three (3) competitors, and outline where your organization has a competitive advantage over each.

Product Background

7. What are the names and version number of each product(s) in the total solution you are proposing? When was this version of the product(s) released?
8. Please outline the product roadmap for the proposed software.
9. How many customers are using your proposed software? Out of this total number of customers, how many of these are government organizations?
10. Please provide the following information about three (3) of your current clients that are using the proposed software and are relevant to MLSC.

Client Name	# of Grant Programs	# of Grants given out	Amount of money granted out	Comments

11. Please provide three (3) references of your current clients that are using the proposed software and are relevant to MLSC in terms of # of grant programs, # of grants given out, etc.

Client Name	Contact Person/Title	Full Address	Phone Number	Client Since

12. Have any of your clients stopped using your software/services in the last three (3) years? If yes, can you please explain?

Product Capabilities

13. Please describe the technology stack your product is built on.
14. MLSC is looking for a solution to be hosted by the vendor or a service provider. Please describe your hosted solution model.
15. Please list all the third party vendors used to support the hosted solution services including infrastructure, data storage, load balancing, etc.
16. Is there a data storage limit for your product including file attachments? Please describe.
17. Please describe the data backup and redundancy capabilities for your product.
18. Please describe the disaster recovery capabilities for your product.
19. Please describe the business continuity plans for your organization and the third party vendors you partner with.
20. What security standards does your product follow?
21. Who can see or have access to the MLSC information? How will you isolate and safeguard MLSC data from other clients?
22. Where is the data center located?
23. Does the product provide a framework for migrating changes through the various environments (development, test and production)? If yes, please describe.
24. Who owns the data? Is there a license for data ownership?
25. In the event if MLSC or you decide to end the contract, how will you ensure that MLSC can export all its data and file attachments?

Implementation Services

26. Please provide an overview of your implementation methodology, including the resources involved and the duration for the implementation.
27. Do you have your own implementation team or do you partner with consultants?
28. What is included as part of implementation? For example, configuration, customization, integration, etc.
29. Who will need to be involved from MLSC during implementation?
30. Please provide an overview of your training program including online and virtual training ((include an estimate of how many sessions and/or hours and whether in person, on the web or whatever means the training would be delivered).

Support

31. Please describe your customer support offerings included in the standard support agreement. Does support include a single point of contact for MLSC, phone support, online support, etc.?
32. What are the standard hours for phone, email and chat support?
33. Do you offer 24 x 7 phone support? If not, do you plan on offering that level of support?
34. What is your Service Level Agreement (SLA) for support calls including response times for different levels of system problems?
35. Can anyone from the MLSC staff request customer support?
36. Please describe your software release schedule including patches, major updates, etc. How do you prepare your customer for these changes?
37. Please describe if there are any software warranties for your product

Pricing

38. Please provide a detailed cost estimate for the proposed software in the following format –

Implementation Costs

Please estimate user licenses for approximately 20 employees with limited capabilities (to do expense reports, manage awards, submit purchase orders) and 5 full licenses to perform Finance functions.

Implementation Components	Cost Estimate	Comments (Optional)
1. Hosting Setup		
2. Project Planning		
3. Analysis & Design		
4. Configuration		
5. Customization		
6. Testing		
7. Delivery		
8. Training		
9. Data Migration		
10. Other (Please specify)		
11. Other (Please specify)		

Annual Operating Costs

Annual Components	Year 1	Year 2	Year 3	Comments (Optional)
1. Software License fees				
2. Hosting fees including data storage				
3. Software Maintenance fees				
4. Standard Customer Support				
5. Premium Customer Support				
6. Other (Please specify)				
7. Other (Please specify)				

39. Please outline any assumptions made for the cost estimates above
40. Please outline any product thresholds for the cost estimates above. For example, number of internal users, number of external reviewers, number of applicants, number of Programs, etc.

APPENDIX 3

Microsoft Excel Spreadsheet – Appendix 3 - MLSC Enterprise Resource Management Requirements

ATTACHMENT A

THE MASSACHUSETTS LIFE SCIENCES CENTER POLICY AND PROCEDURES REGARDING SUBMISSION OF “CONFIDENTIAL INFORMATION”

Introduction

The MLSC is subject to the requirements concerning disclosure of public records under the Massachusetts Public Records Act, M.G.L. c. 66 (Public Records Act), which governs the retention, disposition and archiving of public records. For purposes of the Public Records Act, “public records” include all books, papers, maps, photographs, recorded tapes, financial statements, statistical tabulations, or other documentary materials or data, regardless of physical form or characteristics, made or received by MLSC. As a result, any information submitted to MLSC by a company is subject to public disclosure as set forth in the Public Records Act.

The foregoing notwithstanding, “public records” do not include certain materials or data which fall within a specifically enumerated exemption set forth in the MLSC’s enabling act, M.G.L. Chapter 23I. Such exemption that may be applicable to documents submitted by a company is for any documentary materials or data made or received by MLSC that consist of trade secrets or commercial or financial information regarding the operation of any business conducted by the company, or regarding the competitive position of such company in a particular field of endeavor (Trade Secrets Exemption). In the event that a company wishes to submit certain documents to MLSC and believes such a document or documents may be proprietary in nature and may fall within the parameters of the Trade Secrets Exemption, the company should identify such materials in its application as Confidential.

Procedures for Handling Documents Identified as “Confidential Information”

In the event that Grantee submits documents to the MLSC that Grantee believes may be proprietary in nature and may fall within the parameters of the MLSC Trade Secrets Exemption and/or some other applicable exemption, the following procedures shall apply:

- A) At the time of Grantee’s initial submission of documents to the MLSC, Grantee must clearly and unambiguously identify each and every such document that it contends is subject to an exemption from public disclosure as “Confidential Information.” It is the Grantee’s responsibility to ensure that all such documents are sufficiently identified as “Confidential Information,” and Grantee’s designation must be placed in a prominent location on the face of each and every document that it contends is exempt from disclosure under the Public Records Act.
- B) Documents that are not properly identified by Grantee as “Confidential Information” at the time of their initial submission to the MLSC may be subject to disclosure under the Public Records Act, and the procedures for providing the Grantee with notice of any formal public records request for documents, as set forth below, shall be inapplicable.
- C) At the time the MLSC receives documents from Grantee, any such documents designated by Grantee as “Confidential Information” shall be stored in a secure filing area when not being utilized by appropriate MLSC staff for purposes of administering the Grant.
- D) In the event that the MLSC receives a formal, written public records request for documents submitted by Grantee in response to the solicitation, the MLSC shall notify the Grantee and may, but shall not be required to, provide Grantee an opportunity to present the MLSC with information and/or legal arguments concerning the applicability of the MLSC Trade Secrets Exemption or some other exemption to the subject documents. The MLSC shall then produce all non-confidential, responsive documents.

THE MLSC'S GENERAL COUNSEL IS THE SOLE AUTHORITY WITHIN MLSC FOR MAKING DETERMINATIONS ON THE APPLICABILITY AND/OR ASSERTION OF AN EXEMPTION TO THE PUBLIC RECORDS ACT. NO EMPLOYEE OF THE MLSC OTHER THAN THE GENERAL COUNSEL HAS ANY AUTHORITY TO ADDRESS ISSUES CONCERNING THE STATUS OF "CONFIDENTIAL INFORMATION" OR TO BIND THE MLSC IN ANY MANNER CONCERNING THE MLSC'S TREATMENT AND DISCLOSURE OF SUCH DOCUMENTS.

- E) In the event that the MLSC determines that the subject documents are exempt from disclosure, the requesting party may seek review of the MLSC's determination before the Supervisor of Public Records, and the MLSC shall notify the Grantee in writing in the event that the requesting party pursues a review of the MLSC's determination.
- F) In the event the requesting party pursues a review of the MLSC's determination that the documents are exempt from disclosure and the Supervisor of Public Records concludes that the subject documents are not exempt from disclosure and orders the MLSC to disclose such documents to the requester, the MLSC shall notify the Grantee in writing prior to the disclosure of any such documents, and Applicant may pursue injunctive relief or any other course of action in its discretion.

All documents submitted by Grantee, whether designated as "Confidential Information" or not, are not returnable to Grantee.

ATTACHMENT B
AUTHORIZED RESPONDENT'S SIGNATURE AND ACCEPTANCE FORM

The undersigned is a duly authorized representative of the Respondent listed below. The Respondent has read and understands the RFP requirements. The Respondent acknowledges that all of the terms and conditions of the RFP are mandatory, and that Respondent's response is compliant with such requirements. The Respondent specifically acknowledges the application of the procedures regarding disclosure of sensitive information as set forth in Attachment A of the RFP, and specifically agrees that it shall be bound by those procedures.

The Respondent understands that, if selected by the MLSC, the Respondent and the MLSC will execute a Master Agreement for Services in substantially the form set forth in Attachment C of the RFP.

Respondent agrees that the entire bid response will remain valid for sixty (60) days from receipt by MLSC.

I certify that Respondent is in compliance with all corporate filing requirements and State tax laws.

I further certify that the statements made in this Response to the RFP, including all attachments and exhibits, are true and correct to the best of my knowledge. The submission of false information to the Center is subject to prosecution under the False Claims Law at M.G.L. c. 12, sections 5A – 5O.

Respondent: _____
(Printed Name of Respondent)

By: _____
(Signature of Authorized Representative)

Name: _____

Title: _____

Date: _____

ATTACHMENT C
MASTER AGREEMENT FOR SERVICES

MASSACHUSETTS LIFE SCIENCES CENTER
1000 WINTER STREET, SUITE 2900
WALTHAM, MASSACHUSETTS 02451

MASTER AGREEMENT FOR SERVICES

This MASTER AGREEMENT FOR SERVICES (as amended from time to time, the "Agreement") is made and entered into as of _____ (the "Effective Date") by and between Massachusetts Life Sciences Center, an independent public instrumentality of the Commonwealth of Massachusetts with a principal office and place of business at 1000 Winter Street, Suite 2900, Waltham, Massachusetts 02451, and Full Legal Contractor Name., ["an individual"] OR [insert legal status and jurisdiction], with a ["principal place of business"] OR ["residing"] at Insert Full Legal Address ("Contractor").

Whereas, MLSC desires to retain Contractor to render certain services to MLSC (as defined below) and Contractor desires to be so retained by MLSC and to perform the services specified herein, all in accordance with the terms and conditions of this Agreement.

Now, therefore, in consideration of the premises, mutual covenants and representations set forth herein and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties hereto hereby agree as follows:

1. **Certain Definitions:** The following capitalized terms have the following meanings for purposes of this Agreement:
 - a) "Agreement" means this Master Agreement for Services, including all work orders entered into hereunder and attached hereto and all other referenced attachments hereto and thereto, as the same may be amended from time to time in accordance with the terms of this Agreement.
 - b) "Applicable Third Party" means any Applicant, any Recipient, or any third party to which MLSC is under an obligation to keep the information in question confidential or any Applicant, Contractor Grantee, Recipient or Respondent other than MLSC who will directly benefit from the services provided hereunder.
 - c) "Applicant" means any Person who has sought funding or other financial support from, or has submitted one or more proposals for projects to, MLSC in connection with any of MLSC's programs or initiatives as in effect from time to time, including any former Applicant.
 - d) "Commonwealth" means the Commonwealth of Massachusetts (and its political subdivisions or agents where the context so requires).
 - e) "Contractor" means any Person providing the services contemplated hereunder.
 - f) "General Counsel" means MLSC's General Counsel, or, in the event that no Person holds such title at the time in question, such other legal counsel to MLSC as MLSC's chief executive officer may designate.
 - g) "Governmental Authority" means any national or federal government, any state or other political subdivision thereof, and any other Person exercising executive, legislative, judicial, regulatory or administrative functions of or pertaining to government.
 - h) "Grantee" means any Person who has received funding or any other type of support from MLSC pursuant to any of MLSC's programs or initiatives as in effect from time to time, including any former Grantees (also referred to herein as Recipient).

- i) "MLSC" means the Massachusetts Life Sciences Center and any of its subsidiaries, subdivisions or affiliates, and the successors or assigns thereof.
 - j) "Person" means any individual, partnership, corporation, limited liability company, joint venture, trust, unincorporated organization, Governmental Authority or any other entity.
 - k) "Project Personnel" means, with respect to each project hereunder, the employees or other personnel of each party responsible for such project.
 - l) "Public Records Act" means the Massachusetts Public Records Act, M.G.L. Chapter 66, and any successor thereto.
 - m) "Recipient" means any Person who has received funding or any other type of support from MLSC pursuant to any of MLSC's programs or initiatives as in effect from time to time, including any former Recipients (also referred to herein as Grantee).
 - n) "Respondent" means any Person who has submitted one or more proposals in response to a request for such proposals made by MLSC, including any former Respondents.
 - o) "Sensitive Information" means any confidential, proprietary or otherwise sensitive information concerning the organization, business, operations, financial condition, capitalization, finances, employees, activities, existing or prospective technology, plans or prospects of MLSC or any Applicable Third Party. "Sensitive Information" includes, without limitation, MLSC's or any Applicable Third Party's trade secrets or any commercial or financial information regarding the operation or the current or prospective competitive position of MLSC or of any Applicable Third Party; internal policies and methods of doing business; databases and analytical models; personnel records; products, inventions, designs, know-how, techniques, methods, systems, processes, procedures, prototypes, chemicals, biologics, software programs, works of authorship and other developments; actual or prospective customers, vendors, suppliers, licensors, licensees, investors, strategic or financial partners, products or services; and business plans, projects, proposals and contractual arrangements (including the terms of this Agreement); in each case regardless of whether such Sensitive Information is in oral form or in the form of Written Materials.
 - p) "Written Materials" means any and all documentary materials or data relating to any matter within the scope of the business or mission of MLSC or concerning any of its dealings or affairs, or relating to any Applicable Third Parties under MLSC's programs, regardless of the physical form or characteristics of such documentary materials or data. "Written Materials" include, without limitation, notes, memoranda, letters, reports, documents, files, lists, records, drawings, sketches, specifications, software programs, and other documentation and other materials of any nature and in any format, including data stored on computers, floppy disks c/d roms or other electronic media.
2. **Scope of Services:** MLSC hereby retains Contractor to provide services to MLSC during the term of this Agreement, and Contractor hereby accepts such engagement. Contractor represents itself as competent and qualified to accomplish the specific requirements of this Agreement to the satisfaction of MLSC and in accordance with the terms and conditions of this Agreement and acknowledges that MLSC is relying upon such representation in entering into this Agreement. This Agreement shall apply to all services provided from time to time by Contractor to MLSC during the term specified in Section 4. Each service request shall be in writing and shall be attached to this Agreement as a separate work order, substantially in the form of Attachment B, specifying the start date and duration of the service request, the services to be performed, any deliverables to be furnished by Contractor and payment terms, and shall be signed by a duly authorized officer or employee of each of the parties. Each work order shall reference this Agreement and will be numbered sequentially. In the event of any conflict between the terms and conditions set forth in this Agreement and any provision(s) set forth in any work order or other attachment hereto, the terms of this Agreement shall control unless and until amended in accordance with Section 19 hereof.

3. **Payment:** MLSC shall compensate Contractor as set forth in the attached work order(s). Payments hereunder will generally be made by MLSC within forty-five (45) days following receipt of a reasonably detailed invoice from Contractor evidencing that payment is due hereunder. Contractor's invoices will include such information as is set forth on the relevant work order or as otherwise requested by MLSC.
4. **Term of the Agreement:** This Agreement shall take effect as of the Effective Date set forth in the first paragraph of this Agreement, and shall remain in effect until _____, or until Contractor has completed all services specified in the attached work order(s), whichever is later, unless terminated sooner under the provisions of Section 8.
5. **Project Personnel:** The relevant Project Personnel shall be set forth on the applicable work order. Unless otherwise agreed by the parties, each party will use all reasonable efforts to maintain the same personnel on its project team unless replacement is necessitated by the resignation, extended illness, incapacity or death of specific Project Personnel. Either party may request the removal or replacement of any individual(s) from the other party's project team but shall not do so on frivolous or vexatious grounds. Such a request shall include the reasons for the requested change. If such a request is based on reasonable grounds then each party shall use all reasonable efforts to replace the relevant individual promptly.
6. **Timely Performance:** Contractor acknowledges that expeditious completion of Contractor's services and the expeditious delivery of related deliverables is of the utmost importance to MLSC.
7. **Notices:** Unless otherwise specified in an attachment hereto, any notice hereunder shall be in writing and shall be sent either (i) by facsimile or telecopier, (ii) by courier, or (iii) by first class mail, postage, prepaid, addressed to the Project Personnel listed in the applicable work order at the addresses of such Persons indicated in the first paragraph of this Agreement (or to such other address as a party may provide by notice to the party pursuant to this Section 7), and shall be effective (i) if dispatched by facsimile or telecopier and delivery is electronically confirmed by said media, the day such electronic confirmation is received, (ii) if sent by courier, one business day after dispatch, or (iii) if sent by first class mail, five business days after its date of posting. A copy of each notice required to be sent pursuant to this Agreement shall also be sent to the General Counsel.
8. **Termination or Suspension:**
 - a) **Procedures:** This Agreement will terminate on the date specified in Section 4, unless amended in accordance with Section 19 to extend the term hereof, or unless earlier terminated or suspended as provided in this Section 8(a).
 - i) **Immediate Termination or Suspension - Bankruptcy, Fraud or Material Breach:** This Agreement shall terminate automatically, without further action by either party, in the event of a bankruptcy, receivership or insolvency filing by or against Contractor or the commission by either party of any action constituting fraud on the part of such party in its dealings with the other party or with the Commonwealth. This Agreement shall terminate (or, at the election of the notifying party, the provisions of Section 2 and/or 3 and the related provisions of any work orders shall be suspended) immediately upon receipt by a party of written notice of termination (or suspension) from the other party in the event of such party's material breach of the provisions of this Agreement. The notice shall identify the relevant Section(s) of this Agreement breached by the other party and the nature of such breach. If a party notified of suspension hereunder cures the breach referenced in the notice to the reasonable satisfaction of the notifying party within fourteen (14) days (or such greater or lesser number of days as is specified by the notifying party in said notice) of receipt of such notice, this Agreement shall automatically be reinstated and shall be in full force and effect as if the notice had not been issued; if not, this Agreement shall thereupon automatically terminate, without further action by either party, on such date.

- ii) *Cure Period for Breach of Contract:* In the event Contractor breaches any of its representations, warranties or covenants or any other provision of this Agreement, MLSC may, at its option and in lieu of or after declaring this Agreement immediately suspended or terminated under the immediately preceding clause, provide Contractor with written notice of the opportunity to cure such breach. If Contractor cures the particular breach within fifteen (15) days (or such greater or lesser number of days as is specified by MLSC in said notice) of the receipt by Contractor of such notice, this Agreement shall continue in full force and effect as if the notice had not been issued. If Contractor fails to cure such breach within such cure period, this Agreement shall thereupon automatically terminate.
 - iii) *Termination Without Cause:* MLSC may terminate the Agreement without cause at any time upon provision of written notice to Contractor at least seven (7) calendar days before the effective date of such termination.
 - iv) *Change of Law:* MLSC may terminate this Agreement at any time upon provision of written notice to Contractor in the event of the loss of availability of sufficient funding for the purposes of this Agreement, or in the event of an unforeseen public emergency or change of law mandating action by MLSC which is inconsistent with performing its obligations under this Agreement or rendering further performance by MLSC of its obligations hereunder impracticable or impossible.
- b) Obligations in Event of Termination; Survival: Upon termination of this Agreement, the parties shall have the following obligations:
- i) *Deliverables:* Contractor shall deliver to MLSC all written and tangible work product identified as deliverables in the applicable work order(s) for which services have been performed and payment has been made, and all other property of MLSC or any Applicable Third Parties, and all copies thereof in the direct or indirect possession or control of Contractor, up to and including the date of termination.
 - ii) *Payment:* Contractor shall be paid for all requested and authorized services and deliverables described in the applicable work order(s) and performed up to and including the date of termination.
 - iii) Sections 7 and Sections 9 through 23 of this Agreement shall survive termination of this Agreement.

9. **Contractor's Representations, Warranties and Certifications:** As of the date of this Agreement, and as of each date on which a work order is entered into by the parties, Contractor hereby represents, warrants and certifies under the pains and penalties of perjury as follows:
- a) Contractor is duly authorized to enter into this Agreement (including all work orders hereunder), and the execution, delivery and performance of this Agreement will not conflict with any other agreement or instrument to which it is a party or by which it is bound and will not violate any law, regulation, order or other legal requirement by which Contractor or any of its assets is bound.
 - b) Contractor and all Project Personnel of Contractor are fully capable and qualified to perform the described service(s) and Contractor's other obligations under this Agreement, and have obtained all requisite licenses and permits to perform such obligations.
 - c) Contractor and its Project Personnel are familiar with, and are and will remain in compliance with, and will not take any actions contrary to the provisions of, any laws, rules, regulations, ordinances, orders or requirements of the Commonwealth and other Governmental

Authorities applicable to or implicated by the subject matter of this Agreement, including, without limitation, the statutes referenced in Sections 9(d), 9(e), 14, 16 and 17.

- d) Contractor and its employees are independent contractors of MLSC, and not employees, partners or joint-ventures of MLSC. Contractor will be solely responsible for withholding and paying all applicable payroll taxes of any nature, including social security and other social welfare taxes or contributions, that may be due on amounts paid to its employees. Contractor has filed and will continue to file all necessary state tax returns and reports, and has paid and will continue to pay all taxes and has complied and will continue to comply with all laws of the Commonwealth relating to contributions and payment in lieu of contributions to the Employment Security System, and with all laws of the Commonwealth relating to Worker's Compensation, M.G.L. c.152.
- e) Contractor shall not discriminate against any qualified employee or applicant for employment because of race, color, national origin, ancestry, age, sex, religion, physical or mental handicap, or sexual orientation. Contractor agrees to comply with all applicable Federal and State statutes, rules and regulations prohibiting discrimination in employment including but not limited to: Title VII of the Civil Rights Act of 1964; the Age Discrimination in Employment Act of 1967; Section 504 of the Rehabilitation Act of 1973; the Americans with Disabilities Act of 1990; and M.G.L. c.151B.
- f) The Contractor represents and warrants that all personnel supplied under this Agreement are eligible to work in the United States at the time of execution of this Agreement and that Contractor has a continuing obligation to ensure such status for the duration of the Agreement.

10. **Indemnification and Insurance:**

- a) To the fullest extent permitted by law, Contractor shall indemnify and hold harmless the Commonwealth, MLSC, and each of their respective agents, officers, directors and employees (together with the Commonwealth and MLSC, the "Covered Persons") from and against any and all liability, loss, claims, damages, fines, penalties, costs and expenses (including reasonable attorney's fees), judgments and awards (collectively, "Damages") sustained, incurred or suffered by or imposed upon any Covered Person resulting from (i) any false or fraudulent representation of Contractor under this Agreement, or (ii) any reckless or intentional misconduct of Contractor or any of Contractor's agents, officers, directors, employees or subcontractors. Without limiting the foregoing, Contractor shall indemnify and hold harmless each Covered Person against any and all Damages that may directly or indirectly arise out of or may be imposed because of the failure to comply with the provisions of applicable law by Contractor or any of its agents, officers, directors, employees or subcontractors.
- b) Contractor shall obtain and maintain in effect through the term of this Agreement appropriate insurance coverage for its activities under this Agreement, including, but not limited to, comprehensive general liability insurance (bodily injury and property damage) and professional liability insurance. At MLSC's request, Contractor will provide MLSC with copies of the certificates of insurance evidencing such coverage.

11. **Ownership of Intellectual Property:**

- a) Definitions:

Custom Work Product. The term "Custom Work Product" shall mean all work items newly created by Contractor expressly on behalf of MLSC under this Agreement. Custom Work Product does not include any Contractor Property.

Deliverables: The term "Deliverables" shall mean deliverables as defined in a mutually agreed Scope of Work. Deliverables may contain Custom Work Product, Contractor Property or both.

Contractor Property: The term "Contractor Property" shall mean all pre-existing material, including, but not limited to, any products, software, materials and methodologies proprietary to Contractor or provided by Contractor and any trade secrets, know-how, methodologies and processes related to Contractor's products or services, all of which shall remain the sole and exclusive property of Contractor.

- b) License Grant: Subject to the terms of this Agreement, Contractor grants to MLSC a royalty free, non-exclusive, non-transferable, perpetual license to use the Contractor Property contained in the Deliverables provided hereunder for purposes of this Agreement.
- c) Ownership: Custom Work Product provided by Contractor pursuant to this Agreement shall be done on a "work made for hire" basis under the Copyright Act. To the extent any such Custom Work Product shall not be deemed "work for hire" under any applicable law, Contractor hereby assigns, transfers and conveys to MLSC any and all right, title and interest it may have in and to such Custom Work Product.

12. **Nonsolicitation and Noninterference:** During the term of this Agreement and for a period of one year after the termination, Contractor shall not, directly or indirectly, either for itself or on behalf of or through any other Person:
- a) recruit, solicit, entice or persuade (or attempt to recruit, solicit, entice or persuade) any Person who is (or at any time during the year prior to termination of this Agreement was) an employee, consultant, contractor, vendor or supplier of MLSC to leave the services of MLSC for any reason;
 - b) hire (or attempt to hire) any Person who is (or at any time during the year prior to termination of this Agreement was) an employee of MLSC;
 - c) interfere with (or attempt to interfere with) MLSC's relations or arrangements with any Person who is (or at any time during the year prior to the termination of this Agreement was) an employee, or a consultant, Applicant, Contractor, Grantee Recipient, Respondent, customer, vendor, supplier or contractor of MLSC.
13. **Assignment by Contractor; Subcontracting:** MLSC may assign its rights and obligations under this Agreement to any Person who succeeds to all or any portion of MLSC's business, and all covenants and agreements hereunder shall inure to the benefit of and be enforceable by said successors or assigns. Contractor shall not assign or in any way transfer any interest in, or any of Contractor's rights or obligations under this Agreement, including by operation of law, without the prior written consent of MLSC, nor shall Contractor subcontract any services to anyone without the prior written consent of MLSC.
14. **Conflicts of Interest:** Contractor acknowledges the application of the Massachusetts Conflict of Interest Law (M.G.L. c.268A) to the subject matter of this Agreement and that Contractor's personnel, and Contractor's subcontractor's personnel, if any, may be considered "state employees" and thus may be subject to the provisions of such law. Contractor represents and warrants that it is, and agrees that, for the duration of the term of this Agreement, it and its subcontractors, if any, shall remain in full compliance with the Massachusetts Conflict of Interest Law. Contractor further agrees to provide MLSC with the information listed in Attachment D hereto and to disclose all financial interests in the subject matter of this Agreement held by either Contractor or Contractor's other clients. Contractor and its subcontractors, if any, shall not take any action which it knows or has a reasonable basis to believe would cause any officer or employee of MLSC to participate in any decision relating to this Agreement which affects his/her personal interest or any corporation, partnership, or association in which (s)he is directly or

indirectly interested or to have any interest, direct or indirect, in this Agreement or the proceeds thereof.

15. **Record Keeping, Audit, and Inspection of Records:** Contractor shall maintain books, records and other compilations of data pertaining to its activities under this Agreement to the extent and in such detail as shall properly substantiate claims for payment and Contractor's performance of its duties under the Agreement. All such records shall be kept for a period of not less than seven (7) years or for such longer period as is specified by MLSC (the "Retention Period"). The Retention Period starts on the first day after final payment under this Agreement is made. If any litigation, claim, negotiation, audit or other action involving the records is commenced prior to the expiration of the Retention Period, all records shall be retained until completion of the action and resolution of all issues resulting therefrom, or until the end of the Retention Period, whichever is later. MLSC, the Commonwealth and their respective duly authorized representatives or designees shall have the right at reasonable times and upon reasonable notice, to examine and copy the books, records, and other compilations of data of Contractor which pertain to the provisions and requirements of the Agreement. Such access shall include on-site audits, reviews, and copying of records. If such audit reveals that any portion of the fees was utilized for purposes not permitted under this Agreement, then Contractor shall refund to MLSC the amount determined by such audit within thirty (30) days of Contractor's receipt of such audit and demand.
16. **Confidentiality; Publicity:**
- a) Contractor hereby agrees to protect the physical security and restrict access to all data compiled for, used by, or otherwise in the possession of Contractor in performance of the services hereunder in accordance with Contractor's reasonable business practices and as otherwise provided in this Agreement. Contractor shall comply with all applicable laws and regulations relating to confidentiality and privacy, including, without limitation, all requirements of M.G.L. c.66A implicated by the subject matter of this Agreement.
 - b) Contractor has read and agrees to comply with, and will cause its agents, officers, directors, employees and subcontractors to comply with, the provisions of this Section 16 and MLSC's written policies concerning confidentiality, as set forth in Attachments C-1 and C-2 hereto and as communicated by MLSC's chief executive officer or General Counsel to Contractor from time to time. Contractor acknowledges that during the term of this Agreement it may receive, have access to or create Sensitive Information which is not generally known by the public, nor as a matter of course disseminated by MLSC, published on MLSC's website or disclosed by MLSC pursuant to the requirements of any Governmental Authority. Contractor agrees, for itself and for its agents, officers, directors, employees and subcontractors, as follows:
 - i. not at any time, whether during or after the termination of this Agreement, to divulge, disclose or reveal to any Person any such Sensitive Information, whether or not such information is produced by Contractor's own efforts, except (A) as specifically required in connection with the fulfillment of Contractor's obligations hereunder, or (B) as otherwise directed by the General Counsel in connection with a disclosure request under the Public Records Act, a request for discovery, subpoena, court or administrative order or other compulsory legal process, disclosure requirement or request relating to such Sensitive Information;
 - ii. not at any time, whether during or after the termination of this Agreement, use any Sensitive Information for Contractor's direct or indirect financial or other benefit or for the benefit of any Person related to or affiliated with Contractor or with whom Contractor is now or hereafter associated, other than MLSC, nor will Contractor use or attempt to use any Sensitive Information in any manner which could reasonably be expected to injure or cause loss, whether directly or indirectly, to MLSC or any Applicable Third Party;
 - iii. in the event that Contractor (or any of its agents, officers, directors employees or subcontractors) is questioned about Sensitive Information by anyone who is not

known by Contractor to be authorized to receive or have access to such Sensitive Information, or is asked to provide Sensitive Information to any such Person, Contractor agrees to promptly notify the General Counsel and respond to the inquirer in accordance with the General Counsel's instructions; and

- iv. not at any time, whether during or after the termination of this Agreement, reproduce any Written Materials containing Sensitive Information except to the extent necessary to perform Contractor's obligations under this Agreement, nor make or use (or permit its employees or agents to use) any Written Materials other than in connection with the performance of Contractors' obligations under this Agreement and for the benefit of MLSC, it being understood and agreed that all Written Materials are, shall be and shall remain the sole and exclusive property of MLSC, and immediately upon the termination of the Agreement for any reason, Contractor shall deliver all copies of MLSC's Written Materials and all other property of MLSC in its direct or indirect possession or control to MLSC, at its main office. In addition Contractor shall, upon the termination of the Agreement, delete all Written Materials and Sensitive Information, held by Contractor as data stored on computers, floppy disks c/d roms or other electronic media.
- c) Contractor shall collaborate with MLSC's vice president of communications to prepare any public statement or announcement relating to or bearing on the work performed or data collected under this Agreement or to prepare any press release or for any news conference in which MLSC is concerned or discussed.
- d) Contractor's obligations under Section 16(b) shall not apply to any information that Contractor can demonstrate, through written records (i) is or has become available to the public (including, without limitation, any information filed with any Governmental Authority and available to the public) other than as the result of unauthorized disclosure by Contractor or any of its agents, officers, directors, employees or subcontractors in breach hereof, (ii) was known by Contractor prior to or other than through disclosure of such information by MLSC to Contractor (including disclosure to Contractor while previously serving as an employee of or consultant to MLSC) and was learned or ascertained by Contractor from Persons who are not associated or connected with this Agreement and who rightfully possessed such information and were not themselves in a confidential relationship with MLSC, any Applicable Third Party or Contractor with respect to such information, (iii) Contractor is compelled to disclose by order of a court of competent jurisdiction, administrative agency or governmental body, or by any law, rule or regulation, or by subpoena, or any other compulsory administrative or legal process, provided that Contractor provides prior written notice of such disclosure to the General Counsel, (iv) is disclosed by Contractor in connection with any judicial or other proceeding involving Contractor and MLSC relating to this Agreement or (v) is disclosed with the written consent of the General Counsel.

17. **Public Records:**

- a) *General Statement.* As a public entity, MLSC is subject to the Massachusetts Public Records Law (M.G.L. c.66 and 66A) and thus certain documents and other materials made or received by MLSC are subject to public disclosure unless they are specifically exempted. Contractor has read and agrees to comply with, and will cause its agents, officers, directors, employees and subcontractors to comply with, MLSC's written policies concerning the Public Records Law and other legal disclosure requirements, as set forth in Attachments C-1 and C-2 hereto and as communicated by MLSC's chief executive officer or General Counsel to Contractor from time to time. MLSC's policies shall not be construed as a contractual undertaking of any kind, and Contractor specifically acknowledges that it bears the risk that any material submitted by Contractor to MLSC pursuant to this Agreement may be deemed not to qualify for a public records exemption.

- b) *Treatment of Sensitive Information.* By signing this Agreement, Contractor acknowledges, understands and agrees that the procedures set forth in Attachments C-1 and C-2 are applicable to any documents submitted by Contractor to MLSC and/or to Contractor by MLSC, including but not limited to any acknowledgements set forth therein, and that Contractor shall be bound by these procedures.
18. **Choice of Law and Forum; Equitable Relief:** This Agreement and the rights and obligations of the parties hereunder shall be governed by and construed in accordance with the laws of the Commonwealth, without giving effect to the conflict of laws principles thereof. All legal actions arising out of or relating to this Agreement shall be commenced and maintained in a state or federal court sitting in the Commonwealth. By execution and delivery of this Agreement, each of the parties accepts for such party, generally, exclusively and unconditionally, the jurisdiction of said courts. This Section 18 shall not be construed to limit any other legal rights of the parties. Contractor acknowledges and agrees that any breach or threatened breach of this Agreement by Contractor will result in substantial, continuing and irreparable damage to MLSC. Therefore, in addition to any other remedy that may be available to MLSC, MLSC will be entitled to injunctive or other equitable relief by a court of appropriate jurisdiction in the event of any breach or threatened breach by Contractor of the terms of this Agreement.
19. **Amendments and Waivers:** MLSC may amend Attachments C-1, C-2, and D (without any action by Contractor) to reflect changes in law or MLSC policies and shall promptly deliver any and all such amendments to Contractor in the manner provided in Section 7. Except as provided in the immediately preceding sentence, no amendment to or modification of this Agreement (including any work order), and no waiver of any provision hereof, shall be effective unless the same shall be in writing and shall be signed by each of the parties hereto. Any waiver by MLSC of a breach of any provision of this Agreement shall not operate or be construed as a waiver of any subsequent breach of such provision or any other provision of this Agreement. Forbearance or indulgence in any form or manner by a party shall not be construed as a waiver, nor in any way limit the remedies available to that party.
20. **Severability:** Each provision of this Agreement shall be treated as a separate and independent clause and any decision from a court of competent jurisdiction to the effect that any clause or provision of this Agreement is null or unenforceable shall in no way impair the validity, power or enforceability of any other clause or provision of this Agreement.
21. **Binding Effect; Benefit; Entire Agreement and Attachments:** This Agreement shall be binding on the parties hereto and their respective successors and permitted assigns and shall inure to the benefit of the parties and their respective successors and permitted assigns. Except as provided in the immediately preceding sentence, nothing in this Agreement shall be construed to create any rights or obligations except between the parties hereto, and **no Person shall be regarded as a third party beneficiary of this Agreement.** This Agreement embodies the entire understanding and agreement between the parties hereto with respect to the subject matter of this Agreement and supersedes all prior oral or written agreements and understandings relating to such subject matter. No statement, representation, warranty, covenant or agreement of any kind not set forth in this Agreement will affect, or be used to interpret, change or restrict, the express terms and provisions of this Agreement. Furthermore, neither Contractor's nor any of its subcontractors' provision of services under this Agreement implies, establishes or otherwise creates any rights or expectations of additional contracts with MLSC, whether related or unrelated to the subject matter of this Agreement. The following (together with all exhibits, schedules and attachments thereto) are hereby incorporated into this Agreement by reference:
- a) Attachment A – Form of Work Order, and all work orders entered into in accordance with the terms of this Agreement and attached hereto.
- b) Attachment B – Description of Services
- c) Attachment C – Cost Proposal

- d) Attachment C-1 – MLSC’s Policy and Procedures Regarding Submission of Sensitive Information
 - e) Attachment C-2 -- MLSC Policy and Procedures for Holding Parties in Possession of Sensitive Information
 - f) Attachment D – Consultant/Contractor Mandatory Disclosure Form
22. **Headings:** The headings and captions of the various subdivisions of this Agreement are for convenience of reference only and will in no way modify or affect the meaning or construction of any of the terms or provisions hereof.
23. **Counterparts:** This Agreement may be executed in two or more counterparts, and by different parties hereto on separate counterparts, each of which will be deemed an original, but all of which together will constitute one and the same instrument.

IN WITNESS WHEREOF, the parties have caused this Agreement to be executed as a document under seal as of the Effective Date set forth in the first paragraph hereof.

Massachusetts Life Sciences Center

By: _____
Name: _____
Title: _____
Date: _____

By: _____
Name: _____
Title: _____
Date: _____
Federal Tax ID No.: _____

ATTACHMENT A
Form of Work Order

This Work Order is subject to the terms and conditions of the Agreement for Services (as amended from time to time, the "Agreement") dated _____ between Massachusetts Life Sciences Center and _____. Capitalized terms used and not otherwise defined in this Work Order shall have the meanings ascribed to such terms in the Agreement. In the event of any conflict between this Work Order and the Agreement, the Agreement shall govern.

Pursuant to the terms and conditions of the Agreement and this Work Order, MLSC and Contractor agree as follows:

1. Services: Contractor will perform services related to ***[Insert brief description of services/project]***, as more fully set forth in Attachment B hereto (the "Services").
2. Location: Contractor will provide the Services at Contractor's premises or such other premises as MLSC and Contractor may deem appropriate.
3. Deliverable(s): Contractor will provide the following deliverables: ***[Insert brief description of the deliverables and any specifications they should meet]***, as more fully set forth in Attachment B hereto (the "Deliverables").
4. Term of Work Order: This Work Order will become effective as of _____. Unless otherwise expressly agreed by MLSC in writing, Contractor shall complete the Services and provide the Deliverables described above on or before _____.
5. Payment Schedule/Milestone Schedule:
 - a) In consideration of Contractor's delivery of the Services and Deliverables, MLSC shall pay Contractor a fixed fee equal to \$_____, plus reasonable out-of-pocket expenses related to performance of Contractor's obligations hereunder, for the Services and the Deliverables. Notwithstanding the foregoing, MLSC and Contractor agree that the total fees for the services provided by Contractor shall not exceed \$_____, including expenses. The fee amounts shall be the sole and complete compensation for services performed by Contractor under this Work Order, including contingencies, direct and indirect expenses except as provided above, return and profit.
 - b) MLSC shall withhold _____ (___%) percent of the amount set forth in Section 5(a) until receipt and approval of the final Deliverable. Upon approval of the final deliverable by MLSC, such retainage shall be released to Contractor.
 - c) ***[Insert payment or milestone schedule, e.g., Unless otherwise agreed in writing by Contractor and MLSC, Contractor shall perform the services in accordance with the following schedule:]***

<u>Completion Date</u>	<u>Task</u>

- d) Contractor shall invoice MLSC no more frequently than monthly nor less frequently than quarterly. Payments hereunder will be made by MLSC within forty-five (45) days following receipt of reasonably detailed invoices from Contractor. Contractor's invoice

shall be in a format consistent with the tasks set forth in Attachment B. Invoices shall provide reasonable documentation to provide evidence of costs incurred, including:

- i. Description of services; and
- ii. Direct charges: all direct costs shall be itemized on the invoice and supported by documentation such as vendor invoices, travel vouchers, expense receipts or other documentation as requested by MLSC.

6. Project Personnel:

For Contractor:
For MLSC:

7. Contractor hereby represents and warrants that, as of the date of this Work Order, all of the representations, warranties and certifications of Contractor set forth in the Agreement are true and correct and Contractor is in compliance with all of Contractor's obligations under the Agreement and each other Work Order between MLSC and Contractor.

Massachusetts Life Sciences Center

[Insert Contractor's Name]

By: _____

By: _____

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

ATTACHMENT B
Description of Services

ATTACHMENT C

Cost Proposal

ATTACHMENT C-1

The Massachusetts Life Sciences Center ("MLSC") is subject to the requirements concerning disclosure of public records under the Massachusetts Public Records Act, M.G.L. c. 66 (the "Public Records Act"), which governs the retention, disposition and archiving of public records. For purposes of the Public Records Act, "public records" include all books, papers, maps, photographs, recorded tapes, financial statements, statistical tabulations, or other documentary materials or data, regardless of physical form or characteristics, made or received by MLSC. As a result, any information submitted to MLSC by a grant applicant, recipient grantee, respondent to a request for response (including, but not limited to an RFQ, RFP and RFI), contractor, or any other party (collectively the "Submitting Party") is subject to public disclosure as set forth in the Public Records Act.

The foregoing notwithstanding, "public records" do not include certain materials or data which fall within one of the specifically enumerated exemptions set forth in the Public Records Act or in other statutes, including MLSC's enabling act, M.G.L. Chapter 23I. One such exemption that may be applicable to documents submitted by a Submitting Party is for any documentary materials or data made or received by MLSC that consists of trade secrets or commercial or financial information regarding the operation of any business conducted by the Submitting Party, or regarding the competitive position of such Submitting Party in a particular field of endeavor (the "Trade Secrets Exemption").

In the event that a Submitting Party wishes to submit certain documents to MLSC and believes such a document or documents may be proprietary in nature and may fall within the parameters of the Trade Secrets Exemption and/or some other applicable exemption, the following procedures shall apply:

1. At the time of the Submitting Party's initial submission of documents to MLSC, the Submitting Party must provide a cover letter, addressed to MLSC's General Counsel, indicating that it is submitting documents which it believes are exempt from public disclosure, including a description of the specific exemption(s) that the Submitting Party contends is/are applicable to the submitted materials, a precise description of the type and magnitude of harm that would result in the event of the documents' disclosure, and a specific start date and end date within which the claimed exemption applies. If different exemptions, harms and/or dates apply to different documents, it is the Submitting Party's responsibility and obligation to provide detailed explanations for each such document.
2. At the time of the Submitting Party's initial submission of documents to MLSC, the Submitting Party must also clearly and unambiguously identify each and every such document that it contends is subject to an exemption from public disclosure as "Sensitive Information." It is the Submitting Party's responsibility and obligation to ensure that all such documents are sufficiently identified as "Sensitive Information," and Submitting Party's designation must be placed in a prominent location on the face of each and every document that it contends is exempt from disclosure under the Public Records Act.
3. Documents that are not accompanied by the written notification to MLSC's General Counsel or are not properly identified by the Submitting Party as "Sensitive Information" at the time of their initial submission to MLSC are presumptively subject to disclosure under the Public Records Act, and the procedures for providing the Submitting Party with notice of any formal public records request for documents, as set forth below, shall be inapplicable.
4. At the time MLSC receives documents from the Submitting Party, any such documents designated by Submitting Party as "Sensitive Information" shall be segregated and stored in a secure filing area when not being utilized by appropriate MLSC staff. By submitting a grant application, request for response, or any other act that involves the submission of information to MLSC, the Submitting Party certifies, acknowledges and agrees that (a) MLSC's receipt, segregation and storage of documents designated by Submitting Party as "Sensitive Information" does not represent a finding by MLSC that such documents fall within the Trade Secrets

Exemption or any other exemption to the Public Records Act, or that the documents are otherwise exempt from disclosure under the Public Records Act, and (b) MLSC is not liable under any circumstances for the subsequent disclosure of any information submitted to MLSC by the Submitting Party, whether or not such documents are designated as "Sensitive Information" or MLSC was negligent in disclosing such documents.

5. In the event that MLSC receives an inquiry or request for information submitted by a Submitting Party, MLSC shall produce all responsive information without notice to the Submitting Party. In the event that the inquiry or request entails documents that the Submitting Party has previously designated as "Sensitive Information" in strict accordance with this Policy, the inquiring party shall be notified in writing that one or more of the documents it has requested has been designated by the Submitting Party as "Sensitive Information", and, if not already submitted, that a formal, written public records request must be submitted by the requesting party to MLSC's General Counsel for a determination of whether the subject documents are exempt from disclosure.
6. Upon the General Counsel's receipt of a formal, written public records request for information that encompass documents previously designated by Submitting Party as "Sensitive Information", the Submitting Party shall be notified in writing of MLSC's receipt of the public records request, and MLSC may, but shall not be required to provide Submitting Party an opportunity to present MLSC with information and/or legal arguments concerning the applicability of the Trade Secrets Exemption or some other exemption to the subject documents.
7. The General Counsel shall review the subject documents, the Public Records Act and the exemption(s) claimed by the Submitting Party in making a determination concerning their potential disclosure.
8. MLSC shall provide the requesting party and Submitting Party with written notice of its determination that the subject documents are either exempt or not exempt from disclosure.
9. In the event that MLSC determines that the subject documents are exempt from disclosure, the requesting party may seek review of MLSC's determination before the Supervisor of Public Records, and MLSC shall notify the Submitting Party in writing in the event that the requesting party pursues a review of MLSC's determination.
10. In the event the requesting party pursues a review of MLSC's determination that the documents are exempt from disclosure and the Supervisor of Public Records concludes that the subject documents are not exempt from disclosure and orders MLSC to disclose such documents to the requester, MLSC shall notify the Submitting Party in writing prior to the disclosure of any such documents, and Submitting Party may pursue injunctive relief or any other course of action in its discretion.
11. In the event that MLSC determines that the subject documents are not exempt from disclosure or the General Counsel determines that, under the circumstances and in his discretion, MLSC shall not assert an exemption, MLSC shall notify the Submitting Party in writing prior to the disclosure of any such documents, and Submitting Party may pursue injunctive relief or any other course of action in its discretion.

All documents submitted by Submitting Party, whether designated as "Sensitive Information" or not, are not returnable to Submitting Party.

ATTACHMENT C-2

MLSC POLICY AND PROCEDURES FOR HOLDING PARTIES IN POSSESSION OF SENSITIVE INFORMATION

From time to time, consultants, contractors, grantees, as well as other third parties interacting with MLSC (collectively, the "Holding Party") may receive, have access to or create confidential, proprietary or otherwise sensitive information regarding MLSC, its activities, its employees and/or third parties, such as applicants, consultants, grantees, recipients or respondents under MLSC programs, which information is not generally known by or disseminated to the public as a matter of course. Information of this nature is sometimes referred to in this Agreement as "Sensitive Information." MLSC expects all Holding Parties to maintain the highest degree of professionalism, integrity and propriety with respect to Sensitive Information at all times. In addition, the Massachusetts Conflict of Interest Statute, M.G.L. Chapter 268A, prohibits current and former state employees (defined in the statute to include regular full-time and part-time employees, elected or appointed officials and independent contractors) from improperly disclosing certain categories of Sensitive Information or using it to further their personal interests, and the Massachusetts Fair Information Practices Act, M.G.L. Chapter 66A, contains numerous legal requirements aimed at protecting "personal data" from improper disclosure.

MLSC's policy regarding a Holding Party's possession of Sensitive Information has two key elements:

1. Holding Parties should not request or accept any more Sensitive Information -- whether of a business or personal nature -- than is reasonably necessary under the circumstances; and
2. In the absence of a specific legal requirement compelling disclosure of Sensitive Information in a particular instance, all Holding Parties are expected to take appropriate measures to safeguard such information from improper use and disclosure.

Because the relevant legal requirements and the nature and scope of the information in question can create uncertainty, **HOLDING PARTIES ARE URGED TO CONFER WITH MLSC'S GENERAL COUNSEL IF THEY HAVE ANY QUESTIONS ABOUT CONFIDENTIALITY, THE SCOPE OR PROPER TREATMENT OF SENSITIVE INFORMATION, OR MLSC'S POLICIES OR PROCEDURES WITH RESPECT TO SUCH TOPICS.** Holding Parties shall not substitute their own judgment for that of MLSC's General Counsel in deciding whether particular information is innocuous data or Sensitive Information that should be handled with care, or the advisability or sufficiency of safeguards with respect to particular types of information. **FAILURE TO COMPLY WITH THE POLICIES AND PROCEDURES RELATING TO SENSITIVE INFORMATION AND MLSC'S OBLIGATIONS PURSUANT TO THE PUBLIC RECORDS ACT AND OTHER LEGAL DISCLOSURE REQUIREMENTS CAN RESULT IN IMMEDIATE TERMINATION OF THIS AGREEMENT, AND/OR POTENTIAL LEGAL LIABILITY.**

IT SHOULD BE NOTED THAT THE OBLIGATIONS UNDER THESE POLICIES CONTINUE EVEN AFTER MLSC'S RELATIONSHIP WITH A PARTICULAR APPLICANT, RECIPIENT OR OTHER THIRD PARTY ENDS OR THIS AGREEMENT TERMINATES.

In the absence of a specific legal requirement necessitating disclosure of particular information in a specific instance, Holding Parties are expected to protect Sensitive Information from improper use and disclosure at all times. The following are examples of the kinds of protective procedures that should be followed:

- **Limited Communication to MLSC Personnel:** Sensitive Information should not be communicated to other MLSC employees or consultants, except to the extent that they need to know the information to fulfill their MLSC mission-related responsibilities and their knowledge of the information is not likely to result in misuse or a conflict of interest.
- **Limited Communication to Non-MLSC Personnel:** Sensitive Information should not be communicated to anyone outside MLSC, including family members, except to the extent outside parties need to know the information in order to provide necessary services to MLSC, its Holding Parties or as otherwise directed by the General Counsel to comply with legal requirements necessitating disclosure, such as proper requests under the Public Records Act.

- **Notification of Confidentiality:** When Sensitive Information is communicated to any person outside MLSC, the individual receiving such information should be informed of its sensitive nature and the need to safeguard such information from improper use and disclosure. When Sensitive Information is communicated to parties inside MLSC, the procedures set forth in Attachment C-1 are applicable. MLSC may require that Holding Parties execute a confidentiality agreement that has either been provided or approved by the General Counsel before Sensitive Information is disclosed to them.
- **MLSC Use Only:** Sensitive Information should only be used for MLSC purposes. Under no circumstances may a present or former Holding Party "trade on" such information or otherwise use it, directly or indirectly, for personal gain or for the benefit of any party other than the owner of such information.
- **Prevention of Eavesdropping, Unauthorized Viewing, etc.:** Sensitive matters should not be discussed in restaurants, on public transportation or in other public places or in locations, such as hallways, elevators and building lobbies, where unauthorized individuals could overhear the discussion. Similarly, Sensitive Information should not be exchanged or discussed via cordless or cellular phones or similar "non-secure" communication lines. Speaker phones can amplify conversations and should be used with care when discussing Sensitive Information. Common sense precautions should also be taken with respect to Sensitive Information in written form, such as stamping or marking such documents "CONFIDENTIAL" to flag them for special handling, limiting access to files to those with an MLSC-related "need to know," locking documents that contain Sensitive Information in desk drawers or file cabinets when you are away from your desk, carefully limiting the circumstances in which (and exercising appropriate care when) such materials leave MLSC's office, delivering sensitive materials to others in sealed envelopes, and limiting the addressees and "cc's" of letters, memoranda, emails and other communications containing Sensitive Information to those individuals who reasonably need to see such communications. Data stored on personal computers, and floppy disks, c/d roms and other electronic media containing Sensitive Information, should be properly secured to keep them from being accessed by unauthorized individuals. Documents containing Sensitive Information that are sent to printers should be picked up promptly.
- **Communications With the Public; Compulsory Legal Process:** All contacts with the media and all speeches or other oral or written public statements made on behalf of MLSC, or concerning its activities, applicants or recipients, must be cleared in advance by MLSC's Communications Director. In speeches and statements *not* made on behalf of MLSC, proper care should be taken to avoid any implication that MLSC endorses the views expressed. All disclosure requests under the Public Records Act or in the form of requests for discovery, subpoenas, court or administrative orders or the like must also be referred to the General Counsel for appropriate handling.

QUESTIONS CONCERNING WHETHER A GIVEN TYPE OF INFORMATION OR DOCUMENT IN A HOLDING PARTY'S POSSESSION IS A "PUBLIC RECORD," AND THUS SUBJECT TO DISCLOSURE UNDER THE PUBLIC RECORDS ACT, OR IS COVERED BY AN AVAILABLE EXEMPTION, SHOULD BE DIRECTED TO MLSC'S GENERAL COUNSEL. NO OTHER MLSC EMPLOYEE IS AUTHORIZED TO MAKE SUCH ASSESSMENTS OR TO PROVIDE ANY GUIDANCE TO A HOLDING PARTY CONCERNING POTENTIAL DISCLOSURE OF ANY INFORMATION PROVIDED TO OR IN POSSESSION OF A HOLDING PARTY.

IN ADDITION, ALL COMMUNICATIONS SEEKING INSPECTION OR OTHER DISCLOSURE OF MATERIALS IN A HOLDING PARTY'S POSSESSION UNDER THE PUBLIC RECORDS ACT MUST BE REFERRED PROMPTLY TO THE GENERAL COUNSEL. SIMILARLY, ALL SUBPOENAS AND OTHER LEGAL PROCESS DOCUMENTS REQUESTING OR SEEKING TO COMPEL DISCLOSURE OF MATERIALS IN A HOLDING PARTY'S POSSESSION MUST BE DELIVERED OR PROMPTLY FORWARDED TO THE GENERAL COUNSEL UPON RECEIPT.

ATTACHMENT D

CONSULTANT/CONTRACTOR MANDATORY DISCLOSURE FORM

Additional Income Disclosure. The following represent any contracts, grants with, or other income from the Commonwealth, including any political subdivision or public authority, in effect at the time of execution of this Agreement. Enter N/A if none. Attach additional sheets as necessary.

Disclosure of Persons with Financial Interest. The following individuals have a financial interest in the Agreement and/or more than one percent (1%) interest in the capital stock of Consultant/Contractor. Enter N/A if none. Attach additional sheets as necessary.

Conflict of Interest. Consultant/Contractor acknowledges that the individuals performing services under this Agreement may be considered "state employees" subject to the provisions of the Massachusetts Conflict of Interest Law, M.G.L. c.268A, and certifies that these individuals are familiar with the restrictions imposed thereon.

Key Personnel. Attach a resume for all key personnel to be assigned to the performance of this Agreement.

The information submitted herein is certified by Consultant/Contractor to be accurate and signed under the pains and penalty of perjury.

Name of Consultant/Contractor: _____

Signature: _____

Name: _____

Title: _____

Date: _____