



Administered by University of Maine System  
Office of Strategic Procurement  
Request for Qualifications (RFQ)

Grant Management Business Analyst Services  
RFQ #2018-21

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**Response Deadline Date/Time:** November 7, 2017

**Response Submission Information:**

Submitted electronically to [robin.cyr@maine.edu](mailto:robin.cyr@maine.edu)  
Email Subject Line – Grant Management Business Analyst Services  
RFQ#2018-21

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## 1.0 INTRODUCTION

### 1.1 Definitions, Background, Purpose and Specifications

#### 1.1.1 Definitions

The University of Maine System will hereinafter be referred to as the "University." Respondents to the document shall be referred to as "Respondent(s)" or "Respondent".

The Respondent to whom the Agreement is awarded shall be referred to as the "Contractor."

The University of Maine System and other components of the University shall be referred to as "Multi-Institution".

#### 1.1.2 Background

##### Overview

Established in 1968, the University of Maine System (UMS) unites seven distinctive public universities, comprising 10 campuses and numerous centers, in the common purposes of providing quality higher education while delivering on its traditional tripartite mission of teaching, research, and public service.

Maine's largest educational enterprise, the University extends its mission as a major resource for the state, linking economic growth, the education of its people, and the application of research and scholarship.

A comprehensive public institution of higher education, UMS serves nearly 40,000 students annually and is supported by the efforts of more than 2,000 full-time and part-time faculty, more than 3,000 regular full-time and part-time staff, and a complement of part-time temporary (adjunct) faculty.

Reaching more than 500,000 people annually through educational and cultural offerings, the University of Maine System also benefits from more than two-thirds of its alumni population residing within the state; more than 123,000 individuals.

The System consists of the following seven universities: University of Maine (UM); University of Maine at Machias (UMM); University of Maine at Augusta (UMA); University of Maine at Presque Isle (UMPI); University of Maine at Farmington (UMF); University of Southern Maine (USM); and, University of Maine at Fort Kent (UMFK).

*Operating within a shared services model, the offices of Information Technology, Strategic Procurement, Human Resources, Facilities, Risk and General Services, Finance and Budget, Shared Processing Center, General Counsel and Organizational Effectiveness partner to form the University Services organization.*

*Charged with delivering key administrative functions across the System, University Services is dedicated to leveraging its significant unit and collective resources to not only serve the immediate needs of its constituents, but deliver sustainable economies and efficiencies for the future benefit of the System as well.*

**Campus thumbnails****University of Maine at Augusta**

Founded in 1965, the University of Maine at Augusta transforms the lives of students of every age and background across the State of Maine and beyond through access to high-quality distance and on-site education, excellence in student support, civic engagement, and professional and liberal arts programs. Celebrating its 50<sup>th</sup> anniversary, UMA is the third largest public university in Maine. In addition to its main campus in the state's capital, UMA also serves students at its campus in Bangor (UMA Bangor) and through University College centers around the state. With its multiple locations and long-term expertise in online and distance learning, UMA is generally considered the university of choice for Mainers of all ages who want to attend college without uprooting their lives.

**University of Maine at Farmington**

Established in 1864, the University of Maine at Farmington is a small, increasingly selective public liberal arts college, featuring programs in teacher education, the arts & sciences and professional studies, serving primarily full-time, traditional-age undergraduates in a residential setting. Farmington continues to be recognized for its academic quality, small classes, close-knit community and integrated curricular, co-curricular and extra-curricular offerings. With enrollment at around 1,800 full-time students, UMF is about the same size as many of New England's most selective private colleges and offers many of the same advantages, yet at a very attractive price.

**University of Maine at Fort Kent**

Founded in 1878, the University of Maine at Fort Kent is a unique learning institution perfect for people seeking a rural scholastic atmosphere of modern academic standards combined with an eclectic mix of rugged outdoor vistas and access to cosmopolitan epicenters across two countries. The learning opportunities at UMFK have become a model of a "rural university" that other New England campuses attempt to emulate. Strong academic programs include associate and bachelor's degrees in such disciplines as nursing, business, education, forestry and cyber security among others. The student body at UMFK numbering 1,500, has a higher percentage of international students than any other university in New England, allowing immersion in a cultural opportunity that is unique in the world. Featuring seventy-seven full-time and adjunct faculty and eighty-one staff, UMFK enjoys national recognition for quality and value as well as championships in men's and women's soccer.

**University of Maine at Machias**

The University of Maine at Machias, a member of the University of Maine System, sits on the Gulf of Maine, surrounded by rivers, forests, fishing villages, and blueberry barrens. This unspoiled portion of the Atlantic coast is known for its outdoor recreational opportunities and quality of life. As Maine's Coastal University, faculty and students approach the liberal arts with a focus on coastal, environmental and community issues. The academic experience emphasizes learning both in the classroom and in experiential settings. UMM's fifteen undergraduate degree programs serve approximately 800 students. The University's applied research and public services contribute to the improvement of the quality of life and economic development in Downeast Maine.

**University of Maine**

Established as a land grant college in 1865, the University of Maine is a public research university located in Orono and referred to as the flagship institution of the University of Maine System. UMaine, as it is often called, has an overall enrollment of over 11,000 students who pursue majors in ninety undergraduate disciplines, more than seventy masters' courses of study and thirty doctoral programs. Ranked 105<sup>th</sup> by the National Science Foundation among American research universities, UMaine's research faculty has an international reputation for excellence and the campus' Fogler Library is the largest in the state. Located on more than 600 acres only a few miles from Bangor, one of Maine's largest cities, the University of Maine is a major resource not only for education but economic and community development throughout the state as well.

**University of Maine at Presque Isle**

For more than a century, the University of Maine at Presque Isle has been helping students find their path to great professional careers providing its 1,100 traditional and non-traditional students from all areas of the state, country, and world with life-changing opportunities in a caring, small-university environment. UMPI combines liberal arts and selected professional programs and serves as a cultural and educational resource for the entire region. The campus sits on 150 acres surrounded by the rolling hills and potato fields of northern Maine and the University strives to be the region's premier learning institution while helping to stimulate cultural and economic development in Aroostook County and the State of Maine. The University serves as an educational and cultural center for the area and its facilities are utilized for lectures, programs, concerts, dance performances, exhibits, and plays that benefit the entire region.

**University of Southern Maine**

The University of Southern Maine, northern New England's outstanding public, regional, comprehensive university, is dedicated to providing its diverse student body of more than 9,000 students from forty states and thirty foreign countries with a high-quality, accessible, affordable education. Through its undergraduate, graduate, and professional programs, USM faculty members educate future leaders in the liberal arts and sciences, engineering and technology, health and social services, education, business, law, and public service. Located on three campuses in Gorham, Portland, and Lewiston-Auburn, USM is known as Maine's Metropolitan University and serves communities that are among the largest population centers in the state.

**1.1.3 Purpose**

The University of Maine System (UMS) is initiating a project to implement a comprehensive and sustainable grants management system to support the administrative and programmatic functions of research administration.

The UMS is comprised of seven distinct universities and a system office, all of which receive grants and contracts. Currently, there is an array of challenges faced by faculty and staff who perform and support research and other sponsored activity across the UMS, with different structures of operation and oversight, and varying levels of support and staffing.

The lack of a unifying technology specifically intended for sponsored research has resulted in 'work around' or shadow systems, different processes, frustration, and uncertainty about how best to perform the work or whom to contact with questions.

There is a critical need for a solution that will allow faculty and staff to accurately understand the status of, and funds available with, their grants and to ensure appropriate tracking and billing is occurring.

To help the UMS determine the best path forward and ensure the project achieves overall success, the UMS is seeking the services of an experienced Business Analyst with an extensive background in grants management operations and solutions for large, complex entities, and with knowledge of higher education industry trends. A functional knowledge of Peoplesoft Financials and HRMS systems and associated integrations is also desired.

The Business Analyst will partner closely with the UMS team to review industry best practices and examples from peer institutions, in combination with the results of previous requirements gathering efforts. The Business Analyst will assist the UMS team to develop technical and functional requirements, and develop a desired future state and a process to realize that state.

This document provides instructions for submitting responses, the procedure and criteria by which the Respondent(s) will be selected, and the contractual terms which will govern the relationship between the University and the awarded Respondent(s).

Respondents should review **1.1.4 Specifications / Scope of Work** of this document to see the full Scope of Services/Products required.

#### **1.1.4 Specifications / Scope of Work**

The following provides the scope of work required:

##### **A. Business Analyst Responsibilities**

- Needs Assessment - Work with UMS team to identify the project's business objectives and desired outcomes.
- Conduct process and workflow analysis to develop formal functional and technical requirements.
- Create requirements documentation.
- Identify project success factors.
- Facilitate process to evaluate options and decide upon a path forward.

##### **B. Required Skills**

- Ability to define and document functional and technical requirements, and grants management processes across the entire grants lifecycle.
- Background in complex grants management implementations.
- Understanding of the day-to-day operations, processes, practices and challenges of grants management functions within the higher education sector.

##### **C. UMS Responsibilities:**

- Provide an oversight/sponsor committee to resolve issues that the larger UMS team cannot resolve.
- Provide a project manager as a point of contact and to facilitate needed discussions with the applicable internal subject matter experts for:

- Grant management life cycle.
- PeopleSoft Financial data.
- Programming requirements (dependent software systems).

The Consultant shall furnish all services necessary to complete the analysis in a thorough, professional manner and as indicated in the RFQ, as well as those requirements which may be inferred reasonably from the nature of the project. The services shall include, at a minimum, the list of deliverables outlined in this section or as redefined by the Consultant and accepted by the University.

1. **Needs Assessment: University dialogue and input; Review and analyze existing documentation.**

Development of the needs assessment must be completed through an inclusive process. This process must engage and facilitate input and feedback from a variety of University stakeholders:

- Senior University officials.
- University of Maine System Information Technology staff
- University of Maine System Finance and Accounting staff
- Campus end users such as sponsored programs personnel and Principal Investigators

Consultant shall complete a review and analysis of existing University documentation. A survey/briefing of key University representatives to develop the goals and objectives of the analysis will be required. This task will also involve an in-depth analysis of all University grant management needs.

A report shall be submitted to include a summary of the results of the process, a draft of the goals, objectives and guiding principles, and desired outcomes. This report will be submitted to the information technology and University leadership for review and approval.

2. **Draft Functional & Technical Requirements**

This document will be the baseline deliverable and shall, at a minimum, address the following:

- Process and workflow analysis findings and assumptions.
- Draft functional and technical requirements.
- Draft documentation of project success factors.
- Draft process to evaluate options and decide upon a path forward.

A group selected by University leadership will review and collaborate with the Business Analyst and ultimately recommend the concept plan to the University leadership for approval. The approved Draft Functional & Technical Requirements will serve as the basis for development of the complete analysis.

3. **Final Functional & Technical Requirements**

A draft of the complete requirements shall be developed based on the approved draft document. The Final Functional & Technical Requirements shall detail:

- Final process and workflow analysis findings and assumptions.
- Final functional and technical requirements.

- Final documentation of project success factors.
- Final process to evaluate options and decide upon a path forward.

More specifically, the Final Functional & Technical Requirements shall establish a forward thinking framework for evaluating options and recommending a path forward that is responsive to the University's current and projected needs.

The decision to undertake these sections as part of the overall plan will be driven by University specific requirements.

#### 4. **Presentations**

Presentation of findings and recommendations are anticipated at completion of the following phases:

- Submittal of Needs Assessment
- Submittal of Draft Functional & Technical Requirements
- Submittal of Final Functional & Technical Requirements

The University will require as many meetings and presentations as necessary. There should be no assumption on the number of presentations or the number of trips required. Presentations are the formal promulgation of the Final Functional & Technical Requirements and its components to all vested parties and are to be in addition to all working session presentations given to the University leadership and the project staff. Professional-level presentation graphics are required.

#### 5. **Reports**

Report and presentation graphics are required to be submitted at each project development phase. All reports and presentation graphics submitted during the course of the Final Functional & Technical Requirements effort shall be in both electronic format and hard copy. The electronic format shall be presented on a CD, DVD, or flash drive. Text software shall be compatible with Microsoft Office, and all digitized drawings shall be in the latest version of AutoCAD and in PDF format. Renderings shall be provided in both JPG and PDF format. The hard copy shall be submitted as one reproducible master and 15 bound copies, along with single copies of all drawings and other graphics in mylar (or other medium as approved by the University) reproducible for all final documents. For draft documents only, an electronic copy and twenty-five hard copies of text, illustrations, and drawings are required. All submissions shall be in an electronic format, accessible to persons with disabilities, and that can be converted to a format that can be displayed on the University web site.

## 1.2 **General Information**

### 1.2.1 **Contract Administration and Conditions**

- 1.2.1.1 The winning Respondent will be required to execute a contract in the form of a University of Maine System Contract for Services, which is attached to this response as **Appendix E**. Contract initial term and renewal periods are reflected in Section 2 of Appendix E, Contract for Services, and are subject to continued availability of funding and satisfactory performance.



The Agreement entered into by the parties shall consist of the University of Maine System Contract for Services (attached to this document), the RFQ, the selected Respondent's submission, including all appendices or attachments and clarifications, the specifications including all modifications thereof, and a Purchase Order or Letter of Agreement requiring signatures of the University and the Contractor, all of which shall be referred to collectively as the Agreement Documents.

In the event of a conflict of terms the following precedence will apply:

1. University of Maine System Contract for Services
2. Agreement Riders as required
3. Contract Amendments (as required)
4. The University's RFQ
5. Respondent's Submission
6. Purchase Order or Letter of Agreement

1.2.1.2 Modification of Agreement terms and conditions is permitted except that the University, due to its public nature, will not :

- a. Provide any defense, hold harmless or indemnity;
- b. Waive any statutory or constitutional immunity;
- c. Apply the law of a state other than Maine;
- d. Procure types or amounts of insurance beyond those UMS already maintains or waive any rights of subrogation.
- e. Add any entity as an additional insured to UMS policies of insurance;
- f. Pay attorneys' fees, costs, expenses or liquidated damages;
- g. Promise confidentiality in a manner contrary to Maine's Freedom of Access Act;
- h. Permit an entity to change unilaterally any term or condition once the contract is signed;
- i. Accept any references to terms and conditions, privacy policies or any other websites, documents or conditions referenced outside of the contract; or
- j. Agree to automatic renewals for term(s) greater than month-to-month.

1.2.1.3 By submitting a response to a Request for Proposal, bid or other offer to do business with the University your entity understands and agrees that:

- a. The above Agreement provisions (**Section 1.2.1.2**) will not be modified and are thereby incorporated into any agreement entered into between University and your entity; that such terms and condition shall control in the event of any conflict with such agreement; and that your entity will not propose or demand any contrary terms;
- b. The above Agreement provisions (**Section 1.2.1.2**) will govern the interpretation of such agreement notwithstanding the expression of any other term and/or condition to the contrary;
- c. Your entity agrees that the resulting Agreement will be the entire agreement between the University (including University's employees and other End Users) and

Respondent and in the event that the Respondent requires terms of use agreements or other agreements, policies or understanding, whether on an order form, invoice, website, electronic, click-through, verbal or in writing, with University's employees or other End Users, such agreements shall be null, void and without effect, and the terms of the Agreement shall apply.

- d. Your entity will identify at the time of submission which, if any, portion or your submitted materials are entitled to "trade secret" exemption from disclosure under Maine's Freedom of Access Act; that failure to so identify will authorize UMS to conclude that no portions are so exempt; and that your entity will defend, indemnify and hold harmless UMS in any and all legal actions that seek to compel UMS to disclose under Maine's Freedom of Access Act some or all of your submitted materials and/or contract, if any, executed between UMS and your entity.

### 1.2.2 Communication with the University

It is the responsibility of the Respondent to inquire about any requirement of this document that is not understood. Responses to inquiries, if they change or clarify the document in a substantial manner, will be forwarded by addenda to all parties that have received a copy of the document. Addenda will also be posted on our web site, [www.maine.edu/strategic/upcoming\\_bids.php](http://www.maine.edu/strategic/upcoming_bids.php)

It is the responsibility of all Respondents to check the web site before submitting a response to ensure that they have all pertinent documents. The University will not be bound by oral responses to inquiries or written responses other than addenda.

Inquiries must be made using the **Response Contact Information** provided on the cover sheet of this document.

Refer to table in **Section 1.3.1 Timeline of Key Events** for deadline requirements.

### 1.2.3 Confidentiality

The University must adhere to the provisions of the Maine Freedom of Access Act (FOAA), 1 MRSA §401 et seq. As a condition of submitting a response under this section, a respondent must accept that, to the extent required by the Maine FOAA, responses to this solicitation, and any ensuing contractual documents, are considered public records and therefore are subject to freedom of access requests.

The information contained in responses submitted for the University's consideration will be held in confidence until all evaluations are concluded and a Respondent selected (the successful Respondent). At that time the University will issue award notice letters to all participating Respondents and all Respondents' responses may be made available to participating Respondents upon request. Such request must be made by submitting a written request to the individual noted in the Response Contact Information shown on the cover sheet of this document, with a copy of the request provided to the other Respondents. Such requests are public records.

After the protest period has passed and the Agreement is fully executed, responses will be available for public inspection upon request.

Pricing and other information that is an integral part of the offer cannot be considered confidential after an award has been made. The University will honor requests for confidentiality for information that meets the definition of “trade secret” under Maine law. Clearly mark any portion of your submitted materials which are entitled to “trade secret” exemption from disclosure under Maine's Freedom of Access Act. Failure to so identify as trade secret will authorize the University to conclude that no portions are so exempt; and that your entity will defend, indemnify and hold harmless the University in any and all legal actions that seek to compel the University to disclose under Maine's Freedom of Access Act some or all of your submitted materials and/or contract, if any, executed between the University and your entity.

**1.2.4 Costs of Preparation**

Respondent assumes all costs of preparation of the response and any presentations necessary to the response process.

**1.2.5 Authorization**

Any Agreement for services that will, or may, result in the expenditure by the University of \$50,000 or more must be approved in writing by the Office of Strategic Procurement, Chief Procurement Officer and it is not approved, valid or effective until such written approval is granted.

**1.2.6 Multi-Institutional**

The University of Maine System, Office of Strategic Procurement reserves the right to authorize other University Institutions to use the Agreement(s) resulting from this document, if it is deemed to be beneficial for the University to do so.

**1.2.7 Pricing**

All prices provided shall remain firm for the entire term of the agreement.

**1.2.8 Cost Response Form Quantities**

The quantities shown on the cost response form are approximate only. The Contractor shall cover the actual needs of the University throughout the term of the Agreement regardless of whether they are more or less than the quantities shown.

**1.2.9 Employees**

The Contractor shall employ only competent and satisfactory personnel and shall provide a sufficient number of employees to perform the required services efficiently and in a manner satisfactory to the University. If the Agreement Administrator or designee, notifies the Contractor in writing that any person employed on this Agreement is incompetent, disorderly, or otherwise unsatisfactory, such person shall not again be employed in the execution of this Agreement without the prior written consent of the Agreement Administrator.

## 1.3 General Submission Provisions

### 1.3.1 Timeline of Key Events

| Reference Section | Event Name  | Event Due Date         |
|-------------------|---|------------------------|
| Section 1.2.2     | Deadline for Written Inquiries/Questions                          | October 26, 2017       |
| Section 1.2.2     | Response to Written Inquiries/Questions                           | October 30, 2017       |
| Section 1.2.2     | Deadline for Proposal Submission                                  | November 7, 2017       |
| Section 1.3.8     | Estimated Respondent Presentation Date <b>(subject to change)</b> | November 15 & 16, 2017 |
| Section 2.2       | Award Announcement <b>(subject to change)</b>                     | November 29, 2017      |
|                   | Estimated Agreement Start Date <b>(subject to change)</b>         | December 11, 2017      |

### 1.3.2 Eligibility to Submit Responses

Public entities, private for-profit companies, and non-profit companies and institutions are invited to submit a response to this document.

### 1.3.3 Debarment

Respondents must complete and submit the “Debarment, Performance and Non-Collusion Certification Form provided in Appendix B. Failure to provide this certification may result in the disqualification of the Respondent’s proposal, at the University’s discretion.

Submission of a signed response in response to this solicitation is certification that your firm (or any subcontractor) is not currently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any State or Federal department or agency.

Submission is also agreement that the University will be notified of any change in this status.

### 1.3.4 Response Understanding

By submitting a response, the Respondent agrees and assures that the specifications are adequate, and the Respondent accepts the terms and conditions herein. Any exceptions should be noted in your response.

### 1.3.5 Response Validity

Unless specified otherwise, all responses shall be valid for ninety (90) days from the due date of the response.

### 1.3.6 Non-Response Submission

The University will not consider non-responsive submissions, i.e., those with material deficiencies, omissions, errors or inconsistencies or that otherwise do not follow instructions. The University in its sole discretion will determine what is Non-Responsive.

### 1.3.7 Respondents' Presentations

Presentations may be requested of two or more Respondents deemed by the University to be the best suited among those submitting responses on the basis of the selection criteria. After presentations have been conducted, the University may select the Respondent(s) which, in its opinion, has made the response that is the most responsive and most responsible and may award the Agreement to that/those Respondent(s).

### 1.3.8 Response Submission

A **SIGNED** virus-free electronic copy must be submitted as follows:

- The response must be received electronically to the E-Mail shown in the **Response Submission Information** section of the cover page of this document.
- Electronic submission must be received by the required **Response Deadline Date/Time** reflected on the cover page of this document.
- Response submissions that exceed 20 MB will be submitted with multiple emails modifying email subject line shown in the **Response Submission Information** section of the cover page of this document to include: Submission 1 of X ('X' representing the number of files being submitted).

## 2.0 EVALUATION AND AWARD PROCESS

### 2.1 Evaluation Criteria

#### 2.1.1 Scoring Weights

The score will be based on a 100 point scale and will measure the degree to which each response meets the following criteria:

| Evaluation Appendices | Category  | Points     |
|-----------------------|---|------------|
| Appendix C            | Cost Evaluation   | 30         |
| Appendix D            | Economic Impact   | 10         |
| Appendix E            | Contract for Services                                   | 10         |
| Appendix G & H        | Organization, Qualifications, Experience and References | 50         |
| <b>Total Points</b>   |   | <b>100</b> |

#### 2.1.2 Scoring Section Descriptions

##### 2.1.2.1 Cost Evaluation

The total cost proposed for conducting all the functions specified in this document will be assigned a score according to a mathematical formula. The lowest cost response will be awarded the total points. Responses with higher cost response values will be awarded proportionately fewer points calculated in comparison with the lowest cost response.

The scoring formula is:

$$\left( \frac{\text{Lowest submitted cost response}}{\text{cost of response being scored}} \right) \times (30) = \text{pro-rated score}$$

The University will NOT seek a best and final offer (BAFO) from any Respondent in this procurement process. All Respondents are expected to provide their best value pricing with the submission of their response. Respondents will NOT be given another opportunity to modify pricing once submitted.

##### 2.1.2.2 Economic Impact

Using the form in **Appendix D** (Economic Impact Evaluation Form), the Respondent (Respondent identified on the "Response Cover Page" of their submission) is required to describe the Respondent's recent and anticipated economic impact upon and within the State of Maine.

The Economic Impact for this RFQ will be assigned a score according to a mathematical formula.

Recent Economic Impact: The highest recent economic impact will be awarded 5 points. Proposals with lower recent economic impact will be awarded proportionately fewer points calculated in comparison with the highest impact.

The Recent Economic Impact scoring formula is:  
(Recent Economic Impact proposal being scored / Highest submitted recent Economic Impact proposal) x 5 = pro-rated score

Projected Economic Impact\*: The highest projected economic impact will be awarded 5 points. Proposals with lower projected economic impact will be awarded proportionately fewer points calculated in comparison with the highest projected economic impact.

The Projected Economic Impact scoring formula is:  
(Projected Economic Impact proposal being scored / Highest submitted projected Economic Impact proposal) x 5 = pro-rated score

*\*Projected Economic Impact is to be based **solely** on the resulting contract should the Respondent be awarded the contract for these services (See **Appendix D** for a more detailed explanation).*

Please note: If the University determines that the Respondent's recent and/or projected economic impact information is deemed to be substantially inaccurate, then the University may determine to not award any points for economic impact to that Respondent for the applicable section(s).

#### 2.1.2.3 Contract for Services (Appendix E)

Responses which indicate full acceptance of the terms and conditions will receive the total points noted in the table above. Responses with language adjustments, will have point reductions based on University risk assessment. Refer to Agreement provisions detailed in **Section 1.2.1.2** for additional guidance

#### 2.1.2.4 Organization, Qualifications, Experience and References

The evaluation team will use a consensus approach to evaluate and assign evaluation points. Reference checks will be performed on the top Respondent(s) only as determined by consensus scoring in the other categories.

## 2.2 Award

While the University prefers a single solution that is scalable to meet the needs of both large and small institutions, it reserves the right to award Agreement(s) to one or multiple Respondents, which may include awards to Respondents for a geographical area, if such award is in the best interest of the University.

The University reserves the right to waive minor irregularities, which may include contacting the Respondent to resolve the irregularity. Scholarships, donations, or gifts to the University, will not be considered in the evaluation of responses. The University reserves the right to reject any or all bid/proposal/submission, in whole or in part, and is not necessarily bound to accept the lowest cost response if that bid/proposal/submission is contrary to the best interests of the University. The University may cancel this request or reject any or all responses in whole or in part. Should the University determine in its sole discretion that only one Respondent is fully qualified, or that one Respondent is clearly

more qualified than any other under consideration, an Agreement may be awarded to that Respondent without further action.

## 2.3 Negotiations

The University reserves the right to negotiate with the successful Respondent to finalize a contract. Such negotiations may not significantly vary the content, nature or requirements of the proposal or the University's Request for Proposals to an extent that may affect the price of goods or services requested. The University reserves the right to terminate contract negotiations with a selected respondent who submits a proposed contract significantly different from the response they submitted in response to the advertised RFQ.

In the event that an acceptable contract cannot be negotiated with the highest ranked Respondent, the University may withdraw its award and negotiate with the next-highest ranked Respondent, and so on, until an acceptable contract has been finalized. Alternatively, the University may cancel the RFQ, at its sole discretion.

## 2.4 Award Protest

Respondents may appeal the award decision by submitting a written protest to the University of Maine System's Chief Procurement Officer within five (5) business days of the date of the award notice, with a copy of the protest to the successful Respondent. The protest must contain a statement of the basis for the challenge. The protest must contain a statement of the basis for the challenge. Further information regarding the appeal process can be found at

[http://staticweb.maine.edu/wp-content/uploads/2015/07/APL\\_VII-A\\_20150630-FINAL.pdf?565a1d](http://staticweb.maine.edu/wp-content/uploads/2015/07/APL_VII-A_20150630-FINAL.pdf?565a1d).

If this RFQ results in the creation of a pre-qualified or pre-approved list of vendors, then the appeal procedures mentioned above are available upon the original determination of that vendor list, but not during subsequent competitive procedures involving only the pre-qualified or pre-approved list participants.



## 3.0 RESPONSE FORMAT REQUIREMENTS

### 3.1 General Format Instructions

#### 3.1.1 Electronic Submissions

Documents submitted as part of the electronic response are to be prepared on standard electronic formats of 8-1/2" x 11" and of PDF file type. Submissions requiring additional supporting information, such as, foldouts containing charts, spreadsheets, and oversize exhibits are permissible and must be submitted as Appendices, clearly numbered and referencing the Section in which they provide supporting information.

For clarity, the Respondent's name should appear on every document page, including Appendices. Each Appendix must reference the section or subsection number to which it corresponds.

#### 3.1.2 Respondents Responsibility

It is the responsibility of the Respondent to provide all information requested in the document package at the time of submission. Failure to provide information requested in this document may, at the discretion of the University's evaluation review team, result in a lower rating for the incomplete sections and may result in the response being disqualified for consideration. Include any forms provided in the application package or reproduce those forms as closely as possible. All information should be presented in the same order and format as described in this document.

#### 3.1.3 Brief Response

Respondents are asked to be brief and to respond to each question listed in the "Response to Questions" section of this document. Number each response in the response to correspond to the relevant question in this document.

#### 3.1.4 Additional Attachments Prohibited

The Respondent may not provide additional attachments beyond those specified in the document for the purpose of extending their response. Any material exceeding the response limit will not be considered in rating the response and will not be returned. Respondents shall not include brochures or other promotional material with their response. Additional materials will not be considered part of the response and will not be evaluated.

### 3.2 Response Format Instructions

This section contains instructions for Respondents to use in preparing their response. The Respondent's submission must follow the outline used below, including the numbering of section and sub-section headings. Failure to use the outline specified in this section or to respond to all questions and instructions throughout this document may result in the response being disqualified as non-responsive or receiving a reduced score.

The University and its evaluation team for this document have sole discretion to determine whether a variance from the document specifications should result in either disqualification or reduction in scoring of a response.

Re-phrasing of the content provided in this document will, at best, be considered minimally responsive. The University seeks detailed yet succinct responses that demonstrate the

Respondent's experience and ability to perform the requirements specified throughout this document.

**3.2.1 Section 1 - Response Cover Page**

- 3.2.1.1 Label this response - Section 1 – UMS Response Cover Page
- 3.2.1.2 Insert Appendix A – University of Maine System Response Cover Page

**3.2.2 Section 2 - Cost Response**

- 3.2.2.1 Label this response - Section 2 – Cost Evaluation
- 3.2.2.2 Insert Appendix C – Required Cost Evaluation Exhibits

**3.2.3 Section 3 – Response to Economic Impact**

- 3.2.3.1 Label this response - Section 3 – Economic Impact Evaluation
- 3.2.3.2 Insert Appendix D – Economic Impact Evaluation Form

**3.2.4 Section 4 - Contract for Services**

- 3.2.4.1 Label this response - Section 4 – Contract for Services
- 3.2.4.2 Insert Appendix E – Contract for Services
- 3.2.4.3 Insert Appendix F – Certificate of Insurability Form

**3.2.5 Section 5 - Response to Questions**

- 3.2.5.1 Label this response - Section 5 – Response to Evaluation Questions & Related Information
- 3.2.5.2 Insert Appendix B – Debarment, Performance and Non-Collusion Certification
- 3.2.5.3 Insert Appendix G – Organization Reference Form
- 3.2.5.4 Insert Appendix H – Evaluation Question(s) - Organization, Qualifications and Experience

**4.0 APPENDICES**

- 4.1** Appendix A – University of Maine System Response Cover Page
- 4.2** Appendix B – Debarment, Performance and Non-Collusion Certification
- 4.3** Appendix C – Required Cost Evaluation Exhibits
- 4.4** Appendix D – Economic Impact Evaluation Form
- 4.5** Appendix E – Contract for Services
- 4.6** Appendix F – Certificate of Insurability Form
- 4.7** Appendix G – Organization Reference Form
- 4.8** Appendix H – Evaluation Question(s) - Organization, Qualifications and Experience

## Appendix A – University of Maine System Response Cover Page

**RFQ # 2018-21**  
**Grant Management Business Analyst Services**

|  |  |
|--|--|
| Organization Name:                               |  |
| Chief Executive – Name/Title:                    |  |
| Telephone:                                       |  |
| Fax:   |  |
| Email:   |  |
| Headquarters Street Address:                     |  |
| Headquarters City/State/Zip:                     |  |
| Lead Point of Contact for Quote<br>– Name/Title: |  |
| Telephone:                                       |  |
| Fax:   |  |
| Email:   |  |
| Street Address:                                  |  |
| City/State/Zip:                                  |  |

1. This pricing structure contained herein will remain firm for a period of 90 days from the date and time of the quote deadline date.
2. No personnel currently employed by the University or any other University agency participated, either directly or indirectly, in any activities relating to the preparation of the Respondent's response.
3. No attempt has been made or will be made by the Respondent to induce any other person or firm to submit or not to submit a response.
4. The undersigned is authorized to enter into contractual obligations on behalf of the above-named organization.
5. By submitting a response to a Request for Proposal, bid or other offer to do business with the University your entity understands and agrees that:
  - a. The Agreement provisions in **Section 1.2.1.2** of this document will not be modified and are thereby incorporated into any agreement entered into between University and your entity; that such terms and condition shall control in the event of any conflict with such agreement; and that your entity will not propose or demand any contrary terms;
  - b. The above Agreement provisions in **Section 1.2.1.2** of this document will govern the interpretation of such agreement notwithstanding the expression of any other term and/or condition to the contrary;
  - c. Your entity agrees that the resulting Agreement will be the entire agreement between the University (including University's employees and other End Users) and Respondent and in the event that the Respondent requires terms of use agreements or other agreements, policies or understanding, whether on an order form, invoice, website, electronic, click-through, verbal or in writing, with University's employees or other End Users, such agreements shall be null, void and without effect, and the terms of the Agreement shall apply.
  - d. Your entity will identify at the time of submission which, if any, portion or your submitted materials are entitled to "trade secret" exemption from disclosure under Maine's Freedom of Access Act; that failure to so identify will authorize UMS to conclude that no portions are so exempt; and that your entity will defend, indemnify and hold harmless UMS in any and all legal actions that seek to compel UMS to disclose under Maine's Freedom of Access Act some or all of your submitted materials and/or contract, if any, executed between UMS and your entity.

Continued - Appendix A – University of Maine System Response Cover Page

*To the best of my knowledge all information provided in the enclosed response, both programmatic and financial, is complete and accurate at the time of submission.*

Date: \_\_\_\_\_

\_\_\_\_\_  
Name and Title (Printed)

\_\_\_\_\_  
Authorized Signature

Appendix B – Debarment, Performance and Non-Collusion Certification

**University of Maine System  
DEBARMENT, PERFORMANCE and NON-COLLUSION  
CERTIFICATION  
RFQ # 2018-21  
Grant Management Business Analyst Services**

By signing this document, I certify to the best of my knowledge and belief that the aforementioned organization, its principals and any subcontractors named in this proposal:

- a. Are not presently debarred, suspended, proposed for debarment, and declared ineligible or voluntarily excluded from bidding or working on contracts issued by any governmental agency.
- b. Have not within three years of submitting the proposal for this contract been convicted of or had a civil judgment rendered against them for:
  - i. Fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a federal, state or local government transaction or contract.
  - ii. Violating Federal or State antitrust statutes or committing embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - iii. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
  - iv. Have not within a three (3) year period preceding this proposal had one or more federal, state or local government transactions terminated for cause or default.
- c. Have not entered into a prior understanding, agreement, or connection with any corporation, firm, or person submitting a response for the same materials, supplies, equipment, or services and this proposal is in all respects fair and without collusion or fraud. The above mentioned entities understand and agree that collusive bidding is a violation of state and federal law and can result in fines, prison sentences, and civil damage awards.

**Failure to provide this certification may result in the disqualification of the Respondent’s proposal, at the University’s discretion.**

Date: \_\_\_\_\_

\_\_\_\_\_  
Name and Title (Printed)

\_\_\_\_\_  
Authorized Signature

## Appendix C – Required Cost Evaluation Exhibits

University of Maine System  
COST EVALUATION

**RFQ # 2018-21**  
**Grant Management Business Analyst Services**

Respondent's Organization Name:

---

### **GENERAL INSTRUCTIONS:**

1. The Respondent must submit a cost response that covers the entire period of the Agreement, including any optional renewal periods.
2. The cost response shall include the costs necessary for the Respondent to fully comply with the Agreement terms and conditions and requirements. **Note regarding total cost of ownership:** This "cost" will encompass the entire solution pricing along with all products and services offered as part of the solution.
3. Failure to provide the requested information and to follow the required cost response format provided in Appendix C may result in the exclusion of the Response from consideration, at the discretion of the University. You can add rows and columns required to insert additional information. If a particular cost table is not required as part of your response simply leave it blank.
4. No costs related to the preparation of the Response for this document or to the negotiation of the Agreement with the University may be included in the Response. Only costs to be incurred after the Agreement effective date that are specifically related to the implementation or operation of contracted services may be included.
5. Identify all costs by year, to be charged for performing the services necessary to accomplish the objectives of this document.
6. If there are additional options or services that are not included in the offering, they must be identified and itemized as "optional" and include a description of the product or service and the costs of the option. All items identified in the response (including third party items required) will be considered free add-ons to the proposed solution at the prices included in this response unless expressly stated otherwise.
7. Respondents' are encouraged to provide additional price incentives for providing an enterprise solution, multi-year or award of multiple institutions.
8. Pricing will be guaranteed by the vendor for the term of the Agreement.
9. The University will NOT seek a best and final offer (BAFO) from any Respondent in this procurement process. All Respondents are expected to provide their best value pricing with the submission of their response. Respondents will NOT be given another opportunity to modify pricing once submitted.
10. An **MS Excel Version** must be included in your final submission for all of these tables. For a copy of the excel version, email the contact provided on the cover page of this document.



**INSTRUCTIONS FOR - Exhibit 1 (Table 1) - Professional Services Rate Schedule**

If you charge by the hour for professional services, provide a rate schedule, or range of hourly rates we could expect. Specify whether or not those rates include travel.

Respondent's Organization Name – Provide the Respondent's Organization Name.

**Role/Position Title if Individual** - List role/position title of each role/position title from your organization that would be responsible for work on the project.

**Hourly Rate** - Is the hourly dollar amount that may be invoiced by role/position title.

**Exhibit 1 (Table 1)** – Respondents will use this attachment to record all costs associated with this section. For a copy of the excel version of Exhibit 1, email the contact provided in **Section 1.6**.

| Respondent's Name: |   |             |
|--------------------|---|-------------|
| #                  | Role of Individual/Position Title   | Hourly Rate |
| 1                  |   |             |
| 2                  |   |             |
| 3                  |   |             |
| 4                  |   |             |
| 5                  |   |             |
| 6                  |   |             |
| 7                  |   |             |
| 8                  |   |             |
| 9                  |   |             |
| 10                 |   |             |
|                    | Include additional explanation of costs and list assumptions that could influence the cost of change request pricing. |             |
|                    | List explanations and assumptions here;   |             |
|                    | -   |             |
|                    | -   |             |



**INSTRUCTIONS FOR - Exhibit 1 (Table 2) - Pricing for Custom Features Deliverables**

Provide rate schedule for the high-level deliverables defined RFQ Section 2.0 Scope of Work.

Costs for subcontractors are to be broken out separately.

Respondent's Organization Name – Provide the Respondent's Organization Name.

**University Name** – Institution name pertaining to the costs related to the solution.

**Deliverable Name** - Provide a brief name for the deliverable.

**Role/Position Title (Exhibit 1 Table 2)** - List each role/position title from your organization that would be responsible for contributing to completion of the deliverable. Bidder will replace verbiage 'Position Title 1', etc. with the appropriate actual role/position title in **Exhibit 1 (Table 1)**.

**Hours** – Note the total hours that will be required to provide the contribution necessary to complete the deliverable for each role/position title.

**Hourly Rate** - The hourly dollar amount that may be invoiced by role/position title.

**Cost Estimate** – Calculation of the (Hours x Hourly Rate = Cost Estimate)

**Sub-Total** – Provide a sub-total for each deliverable.

**Total** – Total cost for all deliverables to complete the work for the specified University campus. Your list of deliverables should trace back to the objectives and requirements listed in this document. Where a requirement is addressed by your product or service without customization, indicate that under the Explanation and reference the Licensing and Maintenance schedule above.

Total compensation for services rendered and deliverables shall include any hourly billing rate and all expected related expenses, both actual and administrative.

**Less Discount** – Discount offered off the Subtotal figure.

**Grand Total** – Subtotal less Discount.

**Exhibit 1 (Table 2)** – Respondents will use this attachment to record all costs associated with this section. For a copy of the excel version of Exhibit 1, email the contact provided on the cover page of this document.

| #                | Deliverable  | Role/Position Title<br>(Exhibit 1 Table 1) | Hours | Hourly<br>Rate | Cost<br>Estimate |
|------------------|--|--|-------|----------------|------------------|
| 1                | Needs Assessment                                     | Position Title 1                           |       |                | 0.00             |
|                  |  | Position Title 2                           |       |                | 0.00             |
|                  |  | Position Title 3                           |       |                | 0.00             |
|                  |  | Position Title 4                           |       |                | 0.00             |
|                  |  | Position Title 5                           |       |                | 0.00             |
|                  |  | Position Title 6                           |       |                | 0.00             |
|                  |  | Position Title 7                           |       |                | 0.00             |
|                  |  | Position Title 8                           |       |                | 0.00             |
|                  |  | Position Title 9                           |       |                | 0.00             |
|                  |  | Position Title 10                          |       |                | 0.00             |
| <b>Sub-Total</b> |  |  |       |                | <b>0.00</b>      |
| 2                | Draft Functional & Technical Requirements            | Position Title 1                           |       |                |                  |
|                  |  | Position Title 2                           |       |                | 0.00             |
|                  |  | Position Title 3                           |       |                | 0.00             |
|                  |  | Position Title 4                           |       |                | 0.00             |
|                  |  | Position Title 5                           |       |                | 0.00             |
|                  |  | Position Title 6                           |       |                | 0.00             |
|                  |  | Position Title 7                           |       |                | 0.00             |
|                  |  | Position Title 8                           |       |                | 0.00             |
|                  |  | Position Title 9                           |       |                | 0.00             |
|                  |  | Position Title 10                          |       |                | 0.00             |
| <b>Sub-Total</b> |  |  |       |                | <b>0.00</b>      |
| 3                | Final Functional & Technical Requirements            | Position Title 1                           |       |                | 0.00             |
|                  |  | Position Title 2                           |       |                | 0.00             |
|                  |  | Position Title 3                           |       |                | 0.00             |
|                  |  | Position Title 4                           |       |                | 0.00             |
|                  |  | Position Title 5                           |       |                | 0.00             |
|                  |  | Position Title 6                           |       |                | 0.00             |
|                  |  | Position Title 7                           |       |                | 0.00             |
|                  |  | Position Title 8                           |       |                | 0.00             |
|                  |  | Position Title 9                           |       |                | 0.00             |
|                  |  | Position Title 10                          |       |                | 0.00             |
| <b>Sub-Total</b> |  |  |       |                | <b>0.00</b>      |
| 4                | Other (as required to support Respondent's solution) | Position Title 1                           |       |                | 0.00             |
|                  |  | Position Title 2                           |       |                | 0.00             |
|                  |  | Position Title 3                           |       |                | 0.00             |
|                  |  | Position Title 4                           |       |                | 0.00             |
|                  |  | Position Title 5                           |       |                | 0.00             |
|                  |  | Position Title 6                           |       |                | 0.00             |
|                  |  | Position Title 7                           |       |                | 0.00             |
|                  |  | Position Title 8                           |       |                | 0.00             |
|                  |  | Position Title 9                           |       |                | 0.00             |
|                  |  | Position Title 10                          |       |                | 0.00             |
| <b>Sub-Total</b> |  |  |       |                | <b>0.00</b>      |
| <b>Total</b>     |  |  |       |                | <b>0.00</b>      |

## Appendix D – Economic Impact Evaluation Form

Respondent's Organization Name: \_\_\_\_\_

**Instructions**

Each Respondent will complete the tables below to quantify the Respondent's economic impact upon and within the State of Maine.

For the purposes of this RFQ, the term "economic impact" shall be defined as the "Economic Impact Factors" listed in the table below. To complete the "economic impact" section of the Respondent's response, the Respondent shall provide the information requested, describing the Respondent's **overall** recent economic impact with the State of Maine and, separately, the projected economic impact with the State of Maine that would **specifically result from the awarded contract only**, should the Respondent be selected.

**Table D1** - Recent Economic Impact (Respondent's overall Economic Impact over the past 24-month period)

| Economic Impact Factors  | Factors Expressed in Dollars |
|--|------------------------------|
| Salaries paid to Maine residents in past 24-month period               | \$                           |
| Payments made to Maine-based subcontractors in past 24-month period    | \$                           |
| Payments of State and local taxes in Maine within past 24-month period | \$                           |
| Payments of State licensing fees in Maine within past 24-month period  | \$                           |
| <b>Total Overall Recent Economic Impact</b>                            | <b>\$</b>                    |

**Table D2** - Projected Economic Impact (Future 24-month economic impact resulting from the awarded contract)

| Economic Impact Factors  | Factors Expressed in Dollars |
|--|------------------------------|
| Salaries to be paid to Maine residents in future 24-month period as a result of the awarded contract         | \$                           |
| Payments made to Maine-based subcontractors in future 24-month period as a result of the awarded contract    | \$                           |
| Payments of State and local taxes in Maine within future 24-month period as a result of the awarded contract | \$                           |
| Payments of State licensing fees in Maine within future 24-month period as a result of the awarded contract  | \$                           |
| <b>Total Projected Economic Impact <u>Only</u> from Awarded Contract, If Selected</b>                        | <b>\$</b>                    |

For the tables above, the following definitions are provided:

- "Respondent": Organization identified on the Proposal Cover Page under "Respondent's Organization Name".
- "Maine resident": Any person whose primary residence is located within the State of Maine.
- "Maine-based": Any organization whose primary operations are located within the State of Maine.
- "Past 24-month period": The past 24-months, starting on the date that the RFQ was publicly released.
- "Future 24-month period": A projection for the future 24-month period, starting upon the "Initial Period of Performance" start date Section 1.3.1

**Certification Statement**

*To the best of my knowledge, all information provided in the Economic Impact Evaluation Form is complete and accurate at the time of submission and I confirm that I am authorized to make such a determination on behalf of my organization.*

Date: \_\_\_\_\_

\_\_\_\_\_  
Name and Title (Printed)

\_\_\_\_\_  
Authorized Signature

## Appendix E – Contract for Services

### UNIVERSITY OF MAINE SYSTEM CONTRACT FOR SERVICES MASTER AGREEMENT

This Contract for Services Master Agreement (“Agreement” or “Master Agreement”) entered into this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, by and between the **University of Maine System**, hereinafter referred to as the "**University**", and \_\_\_\_\_, hereinafter referred to as "**Contractor**".

**WITNESSETH**, that for and in consideration of the payments and agreements hereinafter mentioned, to be made and performed by the University, the Contractor hereby agrees with the University to provide the products and services described in this agreement, and the following Riders, hereby incorporated into this Agreement and made part of it by reference:

**Rider A** - Specifications of Work to be Performed

**Rider A-1** – Pricing

**Rider B-1** – Insurance Requirements

**Rider B-2** – Substitute Form W-9 - Taxpayer Identification Number Request & Certification

**Rider C** – University of Maine System Standards for Safeguarding Information

**Contract Amendments** as required

**Request for Qualifications #2018-21** Issue Date **October 19, 2017** Titled **Grant Management Business Analyst Services**

**Contractor’s Bid in Response to Request for Qualifications #2018-21** Proposal Submission Date **November 27, 2017** Titled **Grant Management Business Analyst Services**

**WHEREAS**, the University desires to enter into a contract for professional services, and the Contractor represents itself as competent and qualified to accomplish the specific requirements of this Contract to the satisfaction of the University;

**NOW THEREFORE**, in consideration of the mutual promises contained herein, the parties hereby agree as follows:

This Agreement, along with any documents identified, which are incorporated by reference, constitutes the entire Agreement between the parties, and there are no other or further written or oral understandings or agreements with respect thereto.

1. **Specifications of Work:** The Contractor agrees to perform the Specifications of Work as described in **Rider A**, hereby incorporated by reference.
2. **Term:** This Contract shall commence on **December 4, 2017** and shall terminate on **June 30, 2020**, unless terminated earlier as provided in this Contract with option for **one (1) two (2) year or two (2) one (1) year renewals** upon the parties’ mutual agreement.
3. **Payment:**
  - A. Payment shall be made upon submittal of an electronic invoice to the University by the Contractor on a net 30 basis unless discount terms are offered. In the event there is a

discrepancy with the invoice, payment terms shall be effective starting on the date the discrepancy is resolved, for only that portion of the invoice that is disputed. Invoices must include a purchase order number.

- B. Reimbursement for travel:  
Contractor will be reimbursed for pre-approved travel, lodging and meals in an amount not to exceed \$ \_\_\_\_\_. Copies of receipts or itemized bills for expenses must be submitted for reimbursement.
- C. “**Additional Services**” The University will have the option to purchase additional services under this Agreement.
4. **Termination:** The **Agreement** may be terminated by the University in whole, or in part, whenever for any reason the University shall determine that such termination is in the best interest of the University. Any such termination shall be effected by delivery to the Contractor of a Notice of Termination specifying the extent to which performance of the Agreement is terminated and the date on which such termination becomes effective. The University shall pay all allowable costs incurred up to the effective date of termination. However, the Contractor shall not be reimbursed for any costs incurred after the effective date of termination.
  5. **Obligations Upon Termination:** Any materials produced in performance of this agreement are the property of the University and shall be turned over to the University upon request. The University shall pay the Contractor for all services performed to the effective date of termination subject to offset of sums owed by the Contractor to the University.
  6. **Non-Appropriation:** Notwithstanding any other provision of this Agreement, if the University is not appropriated sufficient funds to pay for the work to be performed under this Agreement or if funds are de-appropriated, then the University is not obligated to make payment under this Agreement.
  7. **Conflict of Interest:** No officer or employee of the University shall participate in any decision relating to this contract which affects his or her personal interest in any entity in which he or she directly or indirectly has interest. No employee of the University shall have any interest, direct or indirect, in this contract or proceeds thereof.
  8. **Modification:** This Contract may be modified or amended only in a writing signed by both parties.
  9. **Assignment:** This Contract, or any part thereof, may not be assigned, transferred or subcontracted by the Contractor without the prior written consent of the University.
  10. **Applicable Law:** This Contract shall be governed and interpreted according to the laws of the State of Maine.
  11. **Administration:** \_\_\_\_\_ shall be the University's authorized representative in all matters pertaining to the administration of the terms and conditions of this Contract.
  12. **Non-Discrimination:** In the execution of the contract, the Contractor shall not discriminate on the basis of race, color, religion, sex, sexual orientation, transgender status or gender expression, national origin or citizenship status, age, disability, genetic information, or veteran status and shall provide reasonable accommodations to qualified individuals with disabilities upon request. The university encourages the employment of qualified individuals with disabilities.
  13. **Indemnification:** The Contractor shall comply with all applicable federal, state and local laws, rules, regulations, ordinances and orders relating to the services provided under this Contract. Contractor shall indemnify, defend and hold the University, its Trustees, officers, employees, and agents, harmless from and against any and all loss, liability, claims, damages, actions, lawsuits, judgments and costs, including reasonable attorney's fees, that the University may become liable to pay or defend arising

from or attributable to any acts or omissions of the Contractor, its agents, employees or subcontractors, in performing its obligations under this Contract, including, without limitation, for violation of proprietary rights, copyrights, or rights of privacy, arising out of a publication, translation, reproduction, delivery, performance, use or disposition of any data furnished under the Contract or based on any libelous or other unlawful matter contained in such data.

14. **Contract Validity:** In the event one or more clauses of this Contract are declared invalid, void, unenforceable or illegal, that shall not affect the validity of the remaining portions of this Contract.
15. **Independent Contractor:** Contractor is an independent contractor of the University, not a partner, agent or joint venture of the University and neither Party shall hold itself out contrary to these terms by advertising or otherwise, nor shall either party be bound by any representation, act or omission whatsoever of the other. For U.S. entities, Contractor, its employees and subcontractors if any, is/are independent contractors for whom no Federal or State Income Tax will be deducted by the University, and for whom no retirement benefits, social security benefits, group health or life insurance, vacation and sick leave, Worker's Compensation and similar benefits available to University's employees will accrue. The parties further understand that annual information returns as required by the Internal Revenue Code and Maine Income Tax Law will be filed by the University with copies sent to Contractor. Contractor will be responsible for compliance with all applicable laws, rules and regulations involving but not limited to, employment, labor, Workers Compensation, hours of work, working conditions, payment of wages, and payment of taxes, such as unemployment, social security and other payroll taxes, including other applicable contributions from such persons when required by law.
16. **Intellectual Property:** Any information and/or materials, finished or unfinished, produced in performance of this Contract, and all of the rights pertaining thereto, are the property of the University and shall be turned over to the University upon request.
17. **Entire Contract:** This Contract sets forth the entire agreement between the parties on the subject matter hereof and replaces and supersedes all prior agreements on the subject, whether oral or written, express or implied. This Contract is the entire agreement between the University (including University's employees and other End Users) and Contractor. In the event that Contractor enters into terms of use agreements or other agreements, policies or understandings, whether on Contractor's purchase order, website, electronic, click-through, verbal or in writing, with University's employees or other End Users, such agreements shall be null, void and without effect, and the terms of this Contract shall apply. University will not be bound to any other terms and conditions set forth in any documents, agreements or policies posted on Contractor's website unless such terms and conditions are set forth in this Contract. Contractor may not unilaterally change any term or condition of this Contract.
18. **Licensing:** Contractor shall secure in its name and at its expense all federal, state, and local licenses and permits required for operation under this Contract. Contractor shall provide proof of such licensure or permit to the University prior to commencing work under this Contract.
19. **Record Keeping, Audit and Inspection of Records:** The Contractor shall maintain books, records and other compilations of data pertaining to the requirements of the Contract to the extent and in such detail as shall properly substantiate claims for payment under the Contract. All such records shall be kept for a period of seven years or for such longer period as specified herein. All retention periods start on the first day after the final payment of the Contract. If any litigation, claim, negotiation, audit or other action involving the records is commenced prior to the expiration of the applicable 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 applicable retention period, whichever is later. The University, the grantor agency (if any), or any of their authorized representatives shall have the right at reasonable times and upon reasonable notice, to examine and copy the books, records and other compilations of data of the Contractor pertaining to this Contract. Such access shall include on-site audits.
20. **Publicity, Publication, Reproduction and use of Contract's Products or Materials:** Unless otherwise provided by law or the University, title and possession of all data, reports, programs, software, equipment, furnishings and any other documentation or product paid for with University funds shall vest

with the University. The Contractor shall at all times obtain the prior written approval of the University before it, any of its officers, agents, employees or subcontractors, either during or after termination of the Contract, makes any statement bearing on the work performed or data collected under this Contract to the press or issues any material for publication through any medium of communication. If the Contractor or any of its subcontractors publishes a work dealing with any aspect of performance under the Contract, or of the results and accomplishments attained in such performance, the University shall have a royalty free, non-exclusive and irrevocable license to reproduce, publish or otherwise use and to authorize others to use the publication.

- 21. **Confidentiality:** The contractor shall comply with all laws and regulations relating to confidentiality and privacy including but not limited to any rules or regulations of the University.
- 22. **Force Majeure:** Neither party shall be liable to the other or be deemed to be in breach of this Contract for any failure or delay in rendering performance arising out of causes beyond its reasonable control and without its fault or negligence. Such causes may include, but are not limited to, acts of God or of a public enemy, fires, flood, epidemics, strikes, embargoes or unusually severe weather. Dates or time of performance shall be extended to the extent of delays excused by this section provided that the party whose performance is affected notifies the other promptly of the existence and nature of such delay.
- 23. **Notices:** Unless otherwise specified in an attachment hereto, any notice hereunder shall be in writing and addressed to the persons and addresses below.

**To the University:**

University of Maine System  
Robinson Hall  
46 University Drive  
Augusta, ME 04330

Attn: **Contract Administration**

**To Contractor:**

**<<BID INSTRUCTIONS – Bidder to supply information noted below for submission with their proposal/bid. >>**

- Company Name:**
- Contact Name:**
- Address:**
- Phone Number:**
- Fax Number:**

- 24. **Invoices:** Unless otherwise specified in an attachment hereto, invoices and questions regarding invoices will be directed to:

University of Maine System  
Accounts Payable  
PO Box 533  
Bangor, ME 04402

Phone: [207-581-2692](tel:207-581-2692)  
Fax: [207-581-2698](tel:207-581-2698)  
Email: [UMAP@maine.edu](mailto:UMAP@maine.edu)



25. **Order of Precedence:** In the event of any conflict among the documents in this agreement, the following order of precedence shall apply:
- A. **Terms and conditions of this Agreement**
  - B. **Rider A** - Specifications of Work to be Performed
  - C. **Rider A-1** – Pricing
  - D. **Rider B-1** – Insurance Requirements
  - E. **Rider B-2** – Substitute Form W-9 - Taxpayer Identification Number Request & Certification
  - F. **Rider C** – University of Maine System Standards for Safeguarding Information
  - G. **Contract Amendments** as required
  - H. **Request for Qualifications #2018-21** Issue Date **October 19, 2017** Titled **Grant Management Business Analyst Services**
  - I. **Contractor’s Bid in Response to Request for Qualifications #2018-21** Proposal Submission Date **November 27, 2017** Titled **Grant Management Business Analyst Services**

**Signatures**

FOR THE UNIVERSITY OF MAINE SYSTEM:

FOR THE CONTRACTOR:

BY: \_\_\_\_\_  
(signature)

LEGAL NAME: \_\_\_\_\_  
BY: \_\_\_\_\_

Name: \_\_\_\_\_  
(print or type)

(signature)  
Name: \_\_\_\_\_

Title: \_\_\_\_\_

(print or type)  
Title: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Title: \_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Telephone: \_\_\_\_\_

Telephone: \_\_\_\_\_

Fax: \_\_\_\_\_

Telephone: \_\_\_\_\_

Date: \_\_\_\_\_

Fax: \_\_\_\_\_

Date: \_\_\_\_\_

Tax ID #: \_\_\_\_\_

**Per University policy, “Any contract or agreement for services that will, or may, result in the expenditure by the University of \$50,000 or more must be approved in writing by the Chief Procurement Officer, or designee, and if it is not approved, valid or effective until such written approval is granted.”**

**Chief Financial Officer approval is required of any University of Maine System agreement of \$50,000 or more, and it is not approved, valid or effective until such written approval is granted.**

**Chief Business Officer approval is required of any campus specific agreement of \$50,000 or more, and it is not approved, valid or effective until such written approval is granted.**

BY: \_\_\_\_\_

BY: \_\_\_\_\_

Title: \_\_\_\_\_

Title: \_\_\_\_\_

Chief Procurement Officer or designee

Chief Financial/Business Officer or designee

Date: \_\_\_\_\_

Date: \_\_\_\_\_

## RIDER A SPECIFICATIONS OF WORK TO BE PERFORMED

The Contractor agrees to the **Specifications of Work to be Performed** as follows:

### INTENT AND PURPOSE

The University of Maine System (UMS) initiated a project to implement a comprehensive and sustainable grants management system to support the administrative and programmatic functions of research administration.

The UMS is comprised of seven distinct universities and a system office, all of which receive grants and contracts. Currently, there is an array of challenges faced by faculty and staff who perform and support research across the UMS, with different structures of operation and oversight, and varying levels of support and staffing.

The lack of a unifying technology specifically intended for sponsored research has resulted in ‘work around’ or shadow systems, different processes, frustration, and uncertainty about how best to perform the work or whom to contact with questions. There is a critical need for a solution that will allow faculty and staff to accurately understand the status of, and funds available with, their grants and to ensure appropriate tracking and billing is occurring.

To help the UMS determine the best path forward and ensure the project achieves overall success, the UMS is seeking the services of an experienced Business Analyst with an extensive background in grants management operations and solutions for large, complex clients, and with knowledge of higher education industry trends. A functional knowledge of Peoplesoft Financials and HRMS systems and associated integrations is also desired.

The Business Analyst will partner closely with the UMS team to review industry best practices and examples from peer institutions, in combination with the results of previous requirements gathering efforts. The Business Analyst will assist the UMS team to develop technical and functional requirements, and develop a desired future state and a process to realize that state.

### PRODUCT SCOPE OF WORK:

The following provides the scope of work required:

#### D. Business Analyst Responsibilities

- Work with UMS team to identify the project’s business objectives and desired outcomes.
- Conduct process and workflow analysis to develop formal functional and technical requirements.
- Create requirements documentation.
- Identify project success factors.
- Facilitate process to evaluate options and decide upon a path forward.

#### E. Required Skills

- Ability to define and document functional and technical requirements, and grants management processes across the entire grants lifecycle.
- Background in complex grants management implementations.
- Understanding of the day-to-day operations, processes, practices and challenges of grants management functions within the higher education sector.

The following will be considered UMS responsibilities:

- Provide an oversight/sponsor committee to resolve issues that the larger UMS team cannot resolve.
- Provide a project manager as a point of contact and to facilitate needed discussions with the applicable internal subject matter experts for:
  - Grant management life cycle.
  - PeopleSoft Financial data.
  - Programming requirements (dependent software systems)

The Consultant shall furnish all services necessary to complete the analysis in a thorough, professional manner and as indicated in the RFQ, as well as those requirements which may be inferred reasonably from the nature of the project. The services shall include, at a minimum, the list of deliverables outlined in this section or as redefined by the Consultant and accepted by the University.

1. **Needs Assessment: University dialogue and input; Review and analyze existing documentation.**

Development of the needs assessment must be completed through an inclusive process. This process must engage and facilitate input and feedback from the following University stakeholders:

- Senior University officials.
- University of Maine System Information Technology staff

Consultant shall complete a review and analysis of existing University documentation. A survey/briefing of key University representatives to develop the goals and objectives of the analysis will be required. This task will also involve an in-depth analysis of all University grant management needs.

A report shall be submitted to include a summary of the results of the process, a draft of the goals, objectives and guiding principles, and desired outcomes. This report will be submitted to the information technology and University leadership for review and approval.

2. **Draft Functional & Technical Requirements**

This document will be the baseline deliverable and shall, at a minimum, address the following:

- Process and workflow analysis findings and assumptions.
- Draft functional and technical requirements.
- Draft documentation of project success factors.
- Draft process to evaluate options and decide upon a path forward.

A group selected by University leadership will review and collaborate with the Business Analyst and ultimately recommend the concept plan to the University leadership for approval. The approved Draft Functional & Technical Requirements will serve as the basis for development of the complete analysis.

3. **Final Functional & Technical Requirements**

A draft of the complete requirements shall be developed based on the approved draft document. The Final Functional & Technical Requirements shall detail:

- Final process and workflow analysis findings and assumptions.
- Final functional and technical requirements.
- Final documentation of project success factors.
- Final process to evaluate options and decide upon a path forward.

More specifically, the Final Functional & Technical Requirements shall establish a forward thinking framework for evaluating options and recommending a path forward that is responsive to the University's current and projected needs.

The decision to undertake these sections as part of the overall plan will be driven by University specific requirements.

#### 4. **Presentations**

Presentation of findings and recommendations are anticipated at completion of the following phases:

- Submittal of Needs Assessment
- Submittal of Draft Functional & Technical Requirements
- Submittal of Final Functional & Technical Requirements

The University will require as many meetings and presentations as necessary. There should be no assumption on the number of presentations or the number of trips required. Presentations are the formal promulgation of the Final Functional & Technical Requirements and its components to all vested parties and are to be in addition to all working session presentations given to the University leadership and the project staff. Professional-level presentation graphics are required.

#### 5. **Reports**

Report and presentation graphics are required to be submitted at each project development phase. All reports and presentation graphics submitted during the course of the Final Functional & Technical Requirements effort shall be in both electronic format and hard copy. The electronic format shall be presented on a CD, DVD, or flash drive. Text software shall be compatible with Microsoft Office, and all digitized drawings shall be in the latest version of AutoCAD and in PDF format. Renderings shall be provided in both JPG and PDF format. The hard copy shall be submitted as one reproducible master and 15 bound copies, along with single copies of all drawings and other graphics in mylar (or other medium as approved by the University) reproducible for all final documents. For draft documents only, an electronic copy and twenty-five hard copies of text, illustrations, and drawings are required. All submissions shall be in an electronic format that can be converted to a web-based file for display on the University

**Additional Scope:** The Contractor shall permit product and services not covered herein to be added by mutual agreement, without voiding the provisions of the existing contract. The Contractor, for additional consideration, shall furnish additional such products and services to the University.

**PRICING:** Refer to RIDER A-1. Pricing will be valid for the term of the Agreement.

### **PERFORMANCE TERMS AND CONDITIONS**

1. **Employees:** The Contractor shall employ only competent and satisfactory personnel and shall provide a sufficient number of employees to perform the required services efficiently and in a manner satisfactory to the University. If the University Contract Administrator notifies the Contractor in writing that any person employed on this Contract is incompetent, disorderly, or otherwise unsatisfactory, such person shall not again be utilized in the execution of this Contract without the prior written consent of the Contract Administrator.
2. **Business and Performance Reviews:** Recognizing that successful performance of this contract is dependent on favorable response, the Contractor shall meet at least quarterly with the Contract Administrator or designee for a business and performance review to evaluate operations and make necessary adjustments. These meetings will normally be conducted electronically but shall be face-to-face on demand. As part of these reviews, the University reserves the right to review equipment specifications quarterly and update equipment specifications accordingly. Contractor shall provide a single point of contact (i.e., relationship manager) and shall notify University in writing and in advance whenever there is a change to that single point of contact.
3. **Campus Visits:** The Contractor agrees to maintain good relations with the University. The Contractor shall make campus visits “as needed” on three days’ notice. The Contractor will coordinate campus visits with the University Services Information and Technology Department to

ensure proper communication and sharing of information related to customer projects.

4. **Accessibility:** If the solution includes any end-user-facing human interface, such as an end-user device software component or web site form, file upload system, etc. the Contractor hereby warrants that the products or services to be provided under this agreement comply with the accessibility guidelines of “Section 508 of the Rehabilitation Act of 1973” as amended as of the date of this agreement, and the “[Web Content Accessibility Guidelines \(WCAG\) 2.0](http://www.w3.org)” published by [www.w3.org](http://www.w3.org).

If the solution includes any end-user-facing human interface, such as an end-user device software component, web pages or site, video or audio playback, file upload system, mobile device components, etc., the Contractor agrees to promptly respond to and resolve any complaint regarding accessibility of its products or services which is brought to its attention and vendor further agrees to indemnify and hold harmless the University of Maine campuses and system or any university entity using the Contractor's products or services from any claim arising out of its failure to comply with the aforesaid requirements.

The University, at its discretion, may at any time test the vendor's products or services covered by this agreement to ensure compliance with Section 508 and WCAG 2.0. Testing that results in findings of non-compliance, shall result in a 25% reduction in the total cost of the products and/or services covered by this agreement if the non-compliance is not corrected within 30 days of being reported to the vendor in writing. All withheld amounts will be paid to the vendor upon correction of the non-compliance and acceptance by the University. Said acceptance not to be unreasonably withheld.

Failure to comply with these requirements shall constitute a breach and be grounds for termination of this agreement and a pro-rated refund of fees paid from the University for the remainder of original contract period.

5. **Standards for Safeguarding Information:** The Contractor is expected to comply with these standards as outlined in ***Rider C - University of Maine System Standards for Safeguarding Information***. Should the Contractor fail to comply with the standards and is unable to reasonably cure its noncompliance within 60 days, the University may terminate this agreement. The University will be entitled to receive a prorated refund measured from the effective date of the termination.

**RIDER A-1  
PRICING**

**<< BID INSTRUCTIONS - Details in Exhibit 1 will be inserted here during Agreement negotiations.  
No action needed for Bidder as part of their proposal/bid submission. >>**

**RIDER B-1  
INSURANCE REQUIREMENTS**

**<< BID INSTRUCTIONS - Bidder to provide their Contractor's Liability Insurance (CIA) Form here as part of their proposal/bid submission. The text below will be removed and the CIA form will be inserted as an image under Rider B-1>>**

Contractor's Liability Insurance: During the term of this agreement, the Contractor shall maintain the following insurance:

| # | Insurance Type   | Coverage Limit                     |
|---|--|------------------------------------|
| 1 | Commercial General Liability, including Product's and Completed Operations<br><br>(Written on an Occurrence-based form)<br>(Bodily Injury and Property Damage) | \$1,000,000 per occurrence or more |
| 2 | Vehicle Liability<br>(Including Hired & Non-Owned)<br>(Bodily Injury and Property Damage)  | \$1,000,000 per occurrence or more |
| 3 | Workers Compensation<br>(In Compliance with Maine and Federal Law)   | Required for all personnel         |
| 3 | Professional Liability Insurance<br>(Agents, Consultants, Brokers, Lawyers, Financial, Engineers, or Medical Services)   | \$1,000,000 per occurrence or more |

Coverage limit requirements can be met with a single underlying insurance policy or through the combination of an underlying insurance policy plus an Umbrella insurance policy.

**The University of Maine System shall be named as Additional Insured on the Commercial General Liability insurance.**

Certificates of Insurance for all of the above insurance shall be filed with:

**University of Maine System  
Risk Manager  
Robinson Hall  
46 University Drive  
Augusta, Maine 04330**

Certificates shall be filed prior to the date of performance under this Agreement. Said certificates, in addition to proof of coverage, shall contain the standard statement pertaining to written notification in the event of cancellation, with a thirty (30) day notification period.

The University reserves the right to change the insurance requirement or to approve alternative insurances or limits, at the University's discretion.



RIDER B-2

Substitute Form W-9 - Taxpayer Identification Number Request & Certification

Please complete the following information. We are required by law to obtain this information from you when making a reportable payment to you. If you do not provide us with this information, your payments may be subject to federal income tax backup withholding. Use this form only if you are a U.S. person (including US. resident alien.). If you are a foreign person, use the appropriate Form W-8.

Part 1 Tax Status:

Print Name: \_\_\_\_\_

Address (number, street, and apt. or suite no.): \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Phone: (\_\_\_\_) \_\_\_\_\_

Complete One:

Individual/Sole Proprietor Business Name, if different from above \_\_\_\_\_
Social Security Number \_\_\_\_ - \_\_\_\_ - \_\_\_\_
-or- Business EIN \_\_\_\_ - \_\_\_\_ - \_\_\_\_

Partnership EIN \_\_\_\_ - \_\_\_\_ - \_\_\_\_

Corporation EIN \_\_\_\_ - \_\_\_\_ - \_\_\_\_

Please answer questions below if you are a corporation:

1. Corporation providing legal services? Y N

2. Corporation providing medical services? Y N

Limited Liability Company EIN \_\_\_\_ - \_\_\_\_ - \_\_\_\_

Tax-Exempt or Not-for-Profit under § 501(C)(3) EIN \_\_\_\_ - \_\_\_\_ - \_\_\_\_

Government Entity EIN \_\_\_\_ - \_\_\_\_ - \_\_\_\_

Estate or Trust EIN \_\_\_\_ - \_\_\_\_ - \_\_\_\_

All other Entities EIN \_\_\_\_ - \_\_\_\_ - \_\_\_\_

Part 2 Exemption: If exempt from Form 1099 reporting, check here: [ ] and circle your qualifying exemption reason below

- 1. An organization exempt from tax under IRC section 501(a)
2. The United States or any of its agencies or instrumentalities
3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
4. A foreign government or any of its political subdivisions, agencies, or instrumentalities
5. An international organization or any of its agencies or instrumentalities
6. Other: \_\_\_\_\_

Part 3 Certification:

Under penalties of perjury, I certify that:

- 1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding,
and
3. I am a U.S. person (including a U.S. resident alien).

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return.

Signature of U.S. person: \_\_\_\_\_ Date: \_\_\_\_\_

Please return this form with the attached contract. Thank you for your cooperation.

**RIDER C**  
**UNIVERSITY OF MAINE SYSTEM**  
**STANDARDS FOR SAFEGUARDING INFORMATION**

This Attachment addresses the Contractor's responsibility for safeguarding Compliant Data and Business Sensitive Information consistent with the University of Maine System's Information Security Policy and Standards. ([infosecurity.maine.edu](http://infosecurity.maine.edu))

Compliant Data is defined as data that the University needs to protect in accordance with statute, contract, law or agreement. Examples include Family Educational Rights and Privacy Act (FERPA), Health Insurance Portability and Accountability Act (HIPAA), Gramm-Leach-Bliley Act (GLBA), Maine Notice of Risk to Personal Data Act, and the Payment Card Industry Data Security Standards (PCI-DSS).

Business Sensitive Information is defined as data which is not subject to statutory or contractual obligations but where the compromise or exposure of the information could result in damage or loss to the University.

1. Standards for Safeguarding Information: The Contractor agrees to implement reasonable and appropriate security measures to protect all systems that transmit, store or process Compliant Data and Business Sensitive Information or personally identifiable information from Compliant Data and Business Sensitive Information furnished by the University, or collected by the Contractor on behalf of the University, against loss of data, unauthorized use or disclosure, and take measures to adequately protect against unauthorized access and malware in the course of this engagement.
  - A. Compliant Data and Business Sensitive Information may include, but is not limited to names, addresses, phone numbers, financial information, bank account and credit card numbers, other employee and student personal information (including their academic record, etc.), Driver's License and Social Security numbers, in both paper and electronic format.
  - B. If information pertaining to student educational records is accessed, transferred, stored or processed by Contractor; Contractor shall protect such data in accordance with FERPA.
  - C. If information pertaining to protected health information is accessed, used, collected, transferred, stored or processed by Contractor; Contractor shall protect such data in accordance with HIPAA and Contractor shall sign and adhere to a Business Associate Agreement.
  - D. If Contractor engages in electronic commerce on behalf of the University or cardholder data relating to University activities is accessed, transferred, stored or processed by Contractor; Contractor shall protect such data in accordance with current PCI-DSS guidelines.
  - E. If information pertaining to protected "Customer Financial Information" is accessed, transferred, stored or processed by Contractor; Contractor shall protect such data in accordance with GLBA.
2. Prohibition of Unauthorized Use or Disclosure of Information: Contractor agrees to hold all information in strict confidence. Contractor shall not use or disclose information received from, or created or received by, Contractor on behalf of the University except as permitted or required by this Agreement, as required by law, or as otherwise authorized in writing by the University.
3. Return or Destruction of Compliant or Business Sensitive Information:
  - A. Except as provided in Section 3(B), upon termination, cancellation, or expiration of the Agreement, for any reason, Contractor shall cease and desist all uses and disclosures of Compliant Data or Business Sensitive Information and shall immediately return or destroy (if the University gives written permission to destroy) in a reasonable manner all such information received from the University, or created or received by Contractor on behalf of the University, provided, however, that Contractor shall reasonably cooperate with the University to ensure that no original information records are destroyed. This provision shall apply to information that is in the possession of subcontractors or agents of Contractor. Contractor shall retain no copies of University information,

including any compilations derived from and allowing identification of any individual's confidential information. Except as provided in Section 3(B), Contractor shall return (or destroy) information within 30 days after termination, cancellation, or expiration of this Agreement.

- B. In the event that Contractor determines that returning or destroying any such information is infeasible, Contractor shall provide to University notification of the conditions that make return or destruction infeasible. Upon mutual agreement of the Parties that return or destruction of such information is infeasible, Contractor shall extend the protections of this Agreement to such information and limit further uses and disclosures of such information to those purposes that make the return or destruction infeasible, for so long as Contractor maintains such information.
  - C. Contractor shall wipe or securely delete Compliant Data or Business Sensitive Information and personally identifiable information furnished by the University from storage media when no longer needed. Measures taken shall be commensurate with the standard for "clearing" as specified in the National Institute of Standards and Technology (NIST) Special Publication SP800-88: Guidelines for Media Sanitization, prior to disposal or reuse.
4. Term and Termination:
    - A. This Attachment shall take effect upon execution and shall be in effect commensurate with the term of the Agreement
  5. Subcontractors and Agents: If Contractor provides any Compliant Data or Business Sensitive Information received from the University, or created or received by Contractor on behalf of the University, to a subcontractor or agent, the Contractor shall require such subcontractor or agent to agree to the same restrictions and conditions as are imposed on Contractor by this Agreement.
  6. Contractor shall control access to University data: All Contractor employees shall be adequately screened, commensurate with the sensitivity of their jobs. Contractor agrees to limit employee access to data on a need-to-know basis. Contractor shall impose a disciplinary process for employees not following privacy procedures. Contractor shall have a process to remove access to University data immediately upon termination or re-assignment of an employee by the Contractor.
  7. Unless otherwise stated in the agreement, all Compliant Data or Business Sensitive Information is the property of the University and shall be turned over to the University upon request.
  8. Contractor shall not amend or replace University-owned hardware, software or data without prior authorization of the University.
  9. If mobile devices are used in the performance of this Agreement to access University Compliant Data or Business Sensitive Information, Contractor shall install and activate authentication and encryption capabilities on each mobile device in use.
  10. Reporting of Unauthorized Disclosures or Misuse of Information: Contractor shall report to the University any use or disclosure of Compliant Data or Business Sensitive Information not authorized by this Agreement or in writing by the University. Contractor shall make the report to the University not more than one (1) business day after Contractor learns of such use or disclosure. Contractor's report shall identify; (i) the nature of the unauthorized use or disclosure, (ii) the information used or disclosed, (iii) who made the unauthorized use or received the unauthorized disclosure, (iv) what Contractor has done or shall do to mitigate the effects of the unauthorized use or disclosure, and (v) what corrective action Contractor has taken or shall take to prevent future similar unauthorized use or disclosure. Contractor shall provide such other information, including a written report, as reasonably requested by the University. Contractor shall keep University informed on the progress of each step of the incident response. Contractor shall indemnify and hold University harmless from all liabilities, costs and damages arising out of or in any manner connected with the security breach or unauthorized use or disclosure by Contractor of any University Compliant Data or Business Sensitive Information. Contractor shall mitigate, to the extent practicable, any harmful effect that is known to Contractor of a security breach or use or disclosure of Compliant Data or Business Sensitive Information by Contractor

in violation of the requirements of this Agreement. In addition to the rights of the Parties established by this Agreement, if the University reasonably determines in good faith that Contractor has materially breached any of its obligations, the University, in its sole discretion, shall have the right to:

- Inspect the data that has not been safeguarded and thus has resulted in the material breach, and/or
- Require Contractor to submit a plan of monitoring and reporting, as the University may determine necessary to maintain compliance with this Agreement; and/or Terminate the Agreement immediately.

11. Survival: The respective rights and obligations of Contractor under Section 12 of the Agreement or Section 3 of this Attachment shall survive the termination of this Agreement.

12. Contractor Hosted Data: If Contractor hosts University Compliant Data or Business Sensitive Data, in or on Contractor facilities, the following clauses apply.

- A. Contractor computers that host University Compliant Data or Business Sensitive Information shall be housed in secure areas that have adequate walls and entry control such as a card controlled entry or staffed reception desk. Only authorized personnel shall be allowed to enter and visitor entry will be strictly controlled.
- B. Contractor shall design and apply physical protection against damage from fire, flood, earthquake, explosion, civil unrest, and other forms of natural or man-made disasters. Contractor shall protect hosted systems with Uninterruptible Power Supply (UPS) devices sufficient to meet business continuity requirements.
- C. Contractor shall backup systems or media stored at a separate location with incremental back-ups at least daily and full back-ups at least weekly. Incremental and full back-ups shall be retained for 15 days and 45 days respectively. Contractor shall test restore procedures not less than once per year.
- D. Contractor shall provide for reasonable and adequate protection on its network and system to include firewall and intrusion detection/prevention.
- E. Contractor shall use strong encryption and certificate-based authentication on any server hosting on-line and e-commerce transactions with the University to ensure the confidentiality and non-repudiation of the transaction while crossing networks.
- F. The installation or modification of software on systems containing University Compliant Data or Business Sensitive Information shall be subject to formal change management procedures and segregation of duties requirements.
- G. Contractor who hosts University Compliant Data or Business Sensitive Information shall engage an independent third-party auditor to evaluate the information security controls not less than every two (2) years. Such evaluations shall be made available to the University upon request.
- H. Contractor shall require strong passwords for any user accessing personally identifiable information or data covered under law, regulation, or standard such as HIPAA, FERPA, or PCI. Strong passwords shall be at least eight characters long; contain at least one upper and one lower case alphabetic characters; and contain at least one numeric or special character.

13. If the Contractor provides system development, Compliant Data or Business Sensitive Information shall not be used in the development or test environments. Records that contain these types of data elements may be used if that data is first de-identified, masked or altered so that the original value is not recoverable. For programs that process University data, initial implementation as well as applied updates and modifications must be produced from specifically authorized and trusted program source libraries and personnel. Contractor shall provide documentation of a risk assessment of new system development or changes to a system.

## Appendix F – Certificate of Insurability Form

Contractor's Liability Insurance: During the term of this agreement, the Contractor shall maintain the following insurance:

| # | Insurance Type   | Coverage Limit                     |
|---|--|------------------------------------|
| 1 | Commercial General Liability, including Product's and Completed Operations<br><br>(Written on an Occurrence-based form)<br>(Bodily Injury and Property Damage) | \$1,000,000 per occurrence or more |
| 2 | Vehicle Liability<br>(Including Hired & Non-Owned)<br>(Bodily Injury and Property Damage)  | \$1,000,000 per occurrence or more |
| 3 | Workers Compensation<br>(In Compliance with Maine and Federal Law)   | Required for all personnel         |
| 3 | Professional Liability Insurance<br>(Agents, Consultants, Brokers, Lawyers, Financial, Engineers, or Medical Services)   | \$1,000,000 per occurrence or more |

Coverage limit requirements can be met with a single underlying insurance policy or through the combination of an underlying insurance policy plus an Umbrella insurance policy.

**The University of Maine System shall be named as Additional Insured on the Commercial General Liability insurance.**

Certificates of Insurance for all of the above insurance shall be filed with:

**University of Maine System  
Risk Manager  
Robinson Hall  
46 University Drive  
Augusta, Maine 04330**

Certificates shall be filed prior to the date of performance under this Agreement. Said certificates, in addition to proof of coverage, shall contain the standard statement pertaining to written notification in the event of cancellation, with a thirty (30) day notification period.

The University reserves the right to change the insurance requirement or to approve alternative insurances or limits, at the University's discretion

## Appendix G – Organization Reference Form

**Respondent's Organization Name:** \_\_\_\_\_

**INSTRUCTIONS:** Provide a minimum of three (3) current professional references who may be contacted for verification of the Respondent's professional qualifications to meet the requirements set forth herein. We strongly prefer references from higher education institutions similar in size and requirements to the University of Maine System, including those with multi-campus integrated solutions.

We request that the references include one long-standing customer (minimum of 3 year engagement) and one new customer (one who has been engaged with Respondent for less than one year).

| REFERENCE #1             |  |
|--------------------------|--|
| Institution/Company Name |  |
| Contact Name             |  |
| Contact Title            |  |
| Contact Phone Number     |  |
| Contact eMail Address    |  |
| Relationship Length      |  |

| REFERENCE #2             |  |
|--------------------------|--|
| Institution/Company Name |  |
| Contact Name             |  |
| Contact Title            |  |
| Contact Phone Number     |  |
| Contact eMail Address    |  |
| Relationship Length      |  |

| REFERENCE #3             |  |
|--------------------------|--|
| Institution/Company Name |  |
| Contact Name             |  |
| Contact Title            |  |
| Contact Phone Number     |  |
| Contact eMail Address    |  |
| Relationship Length      |  |

| REFERENCE #4             |  |
|--------------------------|--|
| Institution/Company Name |  |
| Contact Name             |  |
| Contact Title            |  |
| Contact Phone Number     |  |
| Contact eMail Address    |  |
| Relationship Length      |  |

## Appendix H – Evaluation Question(s) - Organization, Qualifications and Experience

Respondent's Organization Name: \_\_\_\_\_

**INSTRUCTIONS:** Respondents shall ensure that all information required herein is submitted with the response. All information provided should be verifiable by documentation requested by the University. Failure to provide all information, inaccuracy or misstatement may be sufficient cause for rejection of the response or rescission of an award. Respondents are encouraged to provide any additional information describing operational abilities.

### Evaluation Question(s)

1. Provide a statement describing your company to include name, number of employees, locations, number of years in business, number of years offering/supporting the proposed solution, and any and all acquisitions or mergers in the last five years. Is the company publicly or privately held?
2. Please provide information about contract cancellations or non-renewals your company has experienced over the last three years.
3. Describe experience and qualifications related to grants management implementations. Include the software system or group of systems with which you have experience.
4. Describe your process and approach for business analysis and requirements gathering.
5. Describe your approach to UMS needs assessment and design and development of the desired future state.
6. Provide a proposed project timeline.
7. Provide a cost estimate and possible timeline for this service.
8. Submit examples of past projects of similar size and scope.
9. List recent customers and contact information for whom you have provided similar services.
10. Financial Stability  
No financial statements are required to be submitted with your responses, however, prior to an award the University may request audited financial statements from your company, credit reports and letters from your bank and suppliers.