



Administered by University of Maine System  
Office of Strategic Procurement  
Request for Proposal (RFP)

**BUSINESS INTELLIGENCE / DATA  
INTEGRATION SOLUTION**

**RFP #2018-23**

**Issued Date:** October 12, 2017

**Response Deadline Date/Time:** November 30, 2017

**Response Submission Information:**

Submitted electronically to [robin.cyr@maine.edu](mailto:robin.cyr@maine.edu)

Email Subject Line – Business Intelligence / Data Integration Solution  
RFP#2018-23

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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**

As the University of Maine System increasingly looks to data to inform decision making, the need for enterprise-wide Data Integration and Business Intelligence tools continues to grow. The UMS currently has a data warehouse, which is not widely used, and the ETL tool performing integration to the warehouse is end-of-life. At this juncture, we are seeking proposals for both a new data integration tool, as well as potential BI tools, with which we will begin a new warehousing effort to replace the existing warehouse.

Respondents to this RFP may choose to propose a Business Intelligence or a data integration solution; alternatively, respondents may propose both Business Intelligence and Data Integration solutions. The Respondent must declare that intent of submitting one or both solutions in their cover letter and must ensure that the required materials outlined in this document, including separate costs for each solution, are submitted according to the guidelines. . In addition, proposals for the

Data Integration solution must include responses to the questions in Appendix A; proposals for the Business Intelligence solution must include responses to the questions in Appendix B.

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**

Specific, minimum requirements are specified for each tool below. The University of Maine System encourages vendors to specify all additional functionalities beyond the minimum requirements when responding to the questions in the appendices.

The UMS will evaluate proposals on the basis of the following factors, in addition to cost: meeting the requirements below, exhibiting any additional features deemed valuable during the evaluation process, having the most potential for additional growth in coming years, being readily manageable by existing IT personnel, and representing the least significant learning curve (in the case of data integration for our IT staff, and in the case of Business Intelligence, for our functional-area end users).

##### **UMS (minimum) requirements for Data Integration (DI) tool:**

- Access data and integrate with a variety of sources (both various databases & data files), as well as enterprise applications, such as enterprise resource planning (ERP), customer relationship management (CRM), Software-as-a-Service (SaaS); data services such as SOA and REST; and unstructured data sources.
- Insert, modify and delete data into a variety of target systems, such as databases and files.
- Must interact with sources and targets supporting a variety of data capture and delivery methods, including batch acquisition and delivery, bulk import and extract, change-data capture (CDC), and scheduled or event-based data acquisition.
- Must have basic transformation capabilities, including data-type conversion, date functionality, string handling, NULL processing, mathematical functions and relational-type logic. Must have workflow orchestration capabilities that include IF-THEN-ELSE logic, looping, case style conditional processing, and passing variables.
- Must have advanced transformation capabilities that support integration processing specific for DW and BI such as slowly changing dimensions (SCD), aggregation and time series.
- Must have advanced data mapping capabilities, including join, merge, lookup, aggregate, and substitute. Must allow for these to be data and context dependent (multiple possible ways of joining, provided context, etc.).

- Must have a graphical user interface, as well as option for custom coding. (Tools will be evaluated against ease-of-learning by current IT staff.)
- Must have software development functionality: version control, testing and production environments (with interactive testing and debugging ability), the ability to attach comments to code, and to create reusable and shareable components.
- Must support efficient operations with its capabilities for monitoring and optimizing integration and performance (run-time process monitoring and reporting, error notifications, warning and condition handling, and managing security). Preferably creates documentation with graphical representations of workflows.
- Preference for tools with performance tuning capabilities such as enabling parallelizing integration and data loading processes, adjusting use of memory in integration processes, adjusting database commit operations and the use of bulk imports and exports.
- Preference for tools with where-used, what-if and impact analysis capabilities for analyzing the use of data within sources, targets and transforms. In addition, data profiling of sources both stand-alone and within development GUI to examine the structures and sampling of data within data sources.
- Must have available documentation and support (preference for also having available training).
- The tool component architecture should support and extract, load and transform (ELT) architecture and NOT require a dedicated data integration server.
- Tools evaluated based on the estimated amount of time needed for an application programmer with database development experience to become proficient in developing and maintaining code for UMS DW. In addition, the level of effort to operate, debug and maintain code and processes developed using this tool should not require full-time dedicated personnel.

**UMS (minimum) requirements for Business Intelligence (BI) tool:**

- Access to various data sources (both databases & data files, including Excel), and preferably uses in-memory analytics capabilities.
- Accessible to end users using various platforms or devices such as a web interface, PC, Mac and mobile devices.
- Ability for end users to create both reports and visualizations/graphics (preferably the tool suggests options based on the data selected, and preferably offers advanced types of visualizations and out-of-the-box mapping with location awareness using city, state and zip codes rather than longitude and latitude). (Products will be evaluated on how easily these visualizations and tabular reports can be created by non-technical end users.)
- Ability for end users to filter and drill-through reports and visualizations along with context-based filters and context-based visualizations.
- Dashboard capabilities, including the option of linking or keeping independent from each other the various graphics/tables located on a single page (i.e., filters can be applied globally or locally).



- Ability for end users to cleanly export to PDF and to print without reformatting. Data tables should also export to spreadsheet file types. (Preference for the ability to embed reports and visualizations into Microsoft Office tools, with live updating from BI to Excel, Word, or PowerPoint.)
- Ability for end users to select what data they need and filter which columns or fields are selected. End users should be able to blend data from various data sources. This includes accessing the data and mapping or creating relationships with data from multiple sources. End users should also be able to rename and change formats of columns along with creating new columns derived from other columns using Excel-like expressions and calculations.
- Must allow end users to create, and save for future use, measures, calculations, metrics or KPIs usage within the tool.
- Ability for end users to create and save private queries/reports/visualizations and/or create them and publish them with other users.
- End users should be able create dimensional hierarchies to group and summarize data to establish drill-down paths, which should be automatically enabled in visualizations and reports.
- Preference for a tool that allows both live connection and offline updates of data, as scheduled by users.
- Available product documentation for administrators, IT staff, and functional area end users. Online tutorials or videos explaining how to create visualizations, tabular reports, hierarchies, calculations and other features is a plus.

## 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 RFP, 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 RFP



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.

**1.2.10 Environment Compliance**

In the event that the resulting Agreement involves the generation, transportation, handling, disposal, and/or other operations or activities in relation to toxic, hazardous, radioactive, or otherwise dangerous gases, vapors, fumes, acids, alkali's, chemicals, wastes or contaminants and/or other substance, material or condition, the Contractor agrees to indemnify save harmless and defend the University from and against all liabilities, claims, damages, forfeitures, suits, and the costs and expenses incident thereto (including costs of defense, settlement and reasonable attorney's fees) which the University may hereafter incur as a result of death or bodily injuries or damage to any property, contamination of or adverse effects of the environment or any violation of state or federal regulations or laws (including without limitation the Resources Conservation and Recovery Act, the Hazardous Material Transportation Act or the Superfund Amendment and Reauthorization Act, as the same now exists or may hereafter be amended) or order based on or arising in whole or in part from the Contractor's performance under the Agreement, provided, however the Contractor shall not indemnify the University for any liabilities, claims, damages, (as set forth above) caused by or arising out of the sole negligence of the University, or arising out of any area of responsibility not attributable to Contractor.

## 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 25, 2017
Section 1.2.2	Response to Written Inquiries/Questions <b>(subject to change)</b>	November 3, 2017
Section 1.2.2	Deadline for Proposal Submission	November 30, 2017
Section 1.3.8	Estimated Respondent Presentation Date <b>(subject to change)</b>	December 13 – 14, 2017
Section 2.2	Award Announcement <b>(subject to change)</b>	January 8, 2018
	Estimated Agreement Start Date <b>(subject to change)</b>	February 1, 2018

### 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

Since it is the University's intention to allow Respondents to propose to one or both solutions (Business Intelligence and Data Integration), the University will evaluate both solutions separately based on a 100 point scale each, which will measure the degree to which each response meets the following criteria:

#### Business Intelligence Solution

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	10
Appendix J	Business Intelligence Tool	30
Appendix K	Accessibility	Pass/Fail
Appendix L	Information Technology Security	Pass/Fail
Appendix M	Information Technology	10
<b>Total Points</b>		<b>100</b>

#### Data Integration Solution

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	10
Appendix I	Data Integration Tool	30
Appendix K	Accessibility	Pass/Fail
Appendix L	Information Technology Security	Pass/Fail
Appendix M	Information Technology	10
<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 RFP 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.

**2.1.2.5 Data Integration Tool**

The evaluation team will use a consensus approach to evaluate and assign evaluation points.

**2.1.2.6 Business Intelligence Tool**

The evaluation team will use a consensus approach to evaluate and assign evaluation points.

**2.1.2.7 Information Technology Security**

The evaluation team will use a consensus approach to evaluate and assign evaluation based on pass/fail decision.

**2.1.2.8 Accessibility**

The evaluation team will use a consensus approach to evaluate and assign evaluation based on pass/fail decision.

**2.1.2.9 Information Technology**

The evaluation team will use a consensus approach to evaluate and assign evaluation points.

## **2.2 Award**

While the University prefers a single solution that is scalable to meet the needs of both the Business Intelligence and Data Integration solutions, it reserves the right to award Agreement(s) to one or multiple Respondents, 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 RFP. 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 RFP, 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 RFP 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
- 3.2.5.5 Insert Appendix I – Evaluation Question(s) – Data Integration Tool
- 3.2.5.6 Insert Appendix J – Evaluation Question(s) – Business Intelligence Tool
- 3.2.5.7 Insert Appendix K – Evaluation – Accessibility Requirements
  - Voluntary Product Accessibility Template (VPAT)
  - Detailed Description of Accessibility features.
- 3.2.5.8 Insert Appendix L – Evaluation Question(s) – Information Technology Security
- 3.2.5.9 Insert Appendix M – Evaluation Question(s) – Information Technology

## **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
- 4.9** Appendix I – Evaluation Question(s) – Data Integration Tool
- 4.10** Appendix J – Evaluation Question(s) – Business Intelligence Tool
- 4.11** Appendix K – Evaluation – Accessibility Requirements
- 4.12** Appendix L – Evaluation Question(s) - Information Technology Security
- 4.13** Appendix M – Evaluation Question(s) - Information Technology

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

## RFP # 2018-23

## Business Intelligence / Data Integration Solution

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

**IMPORTANT - Respondent is required to place an 'X' to indicate which solutions are offered as an solution in this response:**

\_\_\_\_\_ **Business Intelligence**

\_\_\_\_\_ **Data Integration**

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**

**RFP # 2018-23**

**Business Intelligence / Data Integration Solution**

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

#### RFP # 2018-23 Business Intelligence / Data Integration Solution

Respondent's Organization Name:

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#### 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) - Licensing and Maintenance Agreement Pricing and/or Data Maintenance / Subscription Pricing

The University needs to understand the associated lifecycle costs for your proposed system or service. For solution responses that leverage the University's existing hardware and software investments, the Respondent must provide which licenses and maintenance agreements the University needs to maintain. For solution responses that do not leverage the University's existing hardware and software investments, the Respondent must provide what additional equipment, licenses, and maintenance agreements we would need to purchase.

**IMPORTANT** - Respondents' are required to provide separate costs for each solution (Business Intelligence and/or Data Integration) they are proposing. The Respondent may propose one or both solutions.

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

**Initial Cost "One Time" Training** – Provide any initial 'one-time' costs associated with the solution for training costs.

**Initial Cost "One Time" Implementation** – Provide any initial 'one-time' costs associated with the solution for implementation costs.

**Initial Cost "One Time" Other** - Provide any initial 'one-time' costs associated with the solution other than year 1 licensing and support, training and implementation costs.

**Cost (Year 1 – 5)** - All licensing and maintenance agreement pricing should include rates during the Agreement period, and anticipated future rates.

**Optional Renewal (Year 6 – 7)** - All licensing and maintenance agreement pricing should include rates during the Agreement period, and anticipated future rates.

**Extended Cost** - Total for each line item including initial costs, Year 1-5 and two optional renewal costs.

**Subtotal** – Subtotal of the Extended Cost figures.

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

**Total** – Subtotal less Discount.

**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 on the cover page of this document.

Respondent's Name:				Licensing Maintenance Schedule								
#	Item Description	Initial Cost "One-Time" Training	Initial Cost "One-Time" Implementation	Initial Cost "One-Time" Other	Year 1 Cost	Year 2 Cost	Year 3 Cost	Year 4 Cost	Year 5 Cost	Year 6 (Optional Renewal)	Year 7 (Optional Renewal)	Extended Cost
	<b>Business Intelligence</b>											
1												
2												
3												
	Subtotal											
	Less Discount											
	Total											
	<b>Data Integration</b>											
1												
2												
3												
	Subtotal											
	Less Discount											
	Total											

**INSTRUCTIONS FOR - Exhibit 1 (Table 2) - 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. Respondents' are required to provide separate hourly rates for each solution (Business Intelligence and/or Data Integration) they are proposing.

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

**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.

Respondent's Name:		
#	Role of Individual/Position Title	Hourly Rate
	<b>Business Intelligence</b>	
1		
2		
3		
4		
5		
	<b>Data Integration</b>	
1		
2		
3		
4		
5		

**INSTRUCTIONS FOR - Exhibit 1 (Table 3) - Pricing for Custom Features Deliverables**

Provide rate schedule for the high-level deliverables defined RFP Section 1.1.4 Scope of Work. Respondents' are required to provide separate costs for each solution (Business Intelligence and/or Data Integration) they are proposing.

Costs for subcontractors are to be broken out separately.

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

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

**Role/Position Title (Exhibit 1 Table 3)** - 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 2)**.

**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 3)** – 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.

Respondent's Name:					
#	Module Implementation Deliverables (Cost Breakdown of Table 1 Initial Cost "One-Time" Training and Implementation)	Role/Position Title (Exhibit 1 Table 2)	Hours	Hourly Rate	Cost Estimate
<b>Business Intelligence</b>					
1	Deliverable Name #1	Position Title 1			
2		Position Title 2			
3		Position Title 3			
4		Position Title 4			
5		Position Title 5			
6		Position Title 6			
7		Position Title 7			
8		Position Title 8			
9		Position Title 9			
10		Position Title 10			
Sub-Total					
1	Deliverable Name #2	Position Title 1			
2		Position Title 2			
3		Position Title 3			
4		Position Title 4			
5		Position Title 5			
6		Position Title 6			
7		Position Title 7			
8		Position Title 8			
9		Position Title 9			
10		Position Title 10			
Sub-Total					
Total					
Less Discount					
Grand Total					
<b>Data Integration</b>					
1	Deliverable Name #1	Position Title 1			
2		Position Title 2			
3		Position Title 3			
4		Position Title 4			
5		Position Title 5			
6		Position Title 6			
7		Position Title 7			
8		Position Title 8			
9		Position Title 9			
10		Position Title 10			
Sub-Total					
1	Deliverable Name #2	Position Title 1			
2		Position Title 2			
3		Position Title 3			
4		Position Title 4			
5		Position Title 5			
6		Position Title 6			
7		Position Title 7			
8		Position Title 8			
9		Position Title 9			
10		Position Title 10			
Sub-Total					
Total					
Less Discount					
Grand Total					

**INSTRUCTIONS FOR - Exhibit 1 (Table 4) - Growth and Enhancement Pricing**

Growth and Enhancements are products or services not included in the baseline pricing that we may want to purchase at a later date. These may vary by Respondent response. There is no penalty for not completing this section.

**IMPORTANT** - Respondents' are required to provide separate costs for each institution.

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

**Initial Cost "One Time" Training** – Provide any initial 'one-time' costs associated with the solution for training costs.

**Initial Cost "One Time" Implementation** – Provide any initial 'one-time' costs associated with the solution for implementation costs.

**Initial Cost "One Time" Other** - Provide any initial 'one-time' costs associated with the solution other than year 1 licensing and support, training and implementation costs.

**Cost (Year 1 – 5)** - All licensing and maintenance agreement pricing should include rates during the Agreement period, and anticipated future rates.

**Optional Renewal (Year 6 – 7)** - All licensing and maintenance agreement pricing should include rates during the Agreement period, and anticipated future rates.

**Extended Cost** - Total for each line item including initial costs, Year 1-5 and two optional renewal costs.

**Subtotal** – Subtotal of the Extended Cost figures.

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

**Total** – Subtotal less Discount.

**Exhibit 1 (Table 4)** – 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.

Respondent's Name:					Growth Enhancement - Licensing Maintenance Schedule							
		Initial Cost "One-Time" Training	Initial Cost "One-Time" Implementation	Initial Cost "One-Time" Other	Year 1 Cost	Year 2 Cost	Year 3 Cost	Year 4 Cost	Year 5 Cost	Year 6 (Optional Renewal)	Year 7 (Optional Renewal)	Extended Cost
#	Item Description											
1												
2												
3												
4												
5												
6												
7												
	Subtotal											
	Less Discount											
	Total											



## 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 RFP, 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 RFP 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**

**Request for Proposal – BI / DI Solution**

**Dated: October 11, 2017**

*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

**Rider D** – Services Engagement Form

**Rider E** – Implementation Plan and Timeline

**Rider F** – Contractor's Service Level Agreement to Support the University

**Contract Amendments** as required

**Request for Proposal #2018-23** Issue Date **October 11, 2017** Titled **Business Intelligence / Data Integration Solution**

**Contractor's Bid in Response to Request for Proposal #2018-23** Proposal Submission Date **November 30, 2017** Titled **Business Intelligence / Data Integration Solution**

**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.

**Rider A** provides a suite of services offered by the Contractor to the University. As required by the University institutions, the parties will develop jointly specific Services Engagement documents. The required format of this document is detailed in **Rider D**. The document will be governed by all the terms in this agreement; except that the engagement administrator for purposes of managing the service deliverables may be different than this Agreement Administrator and the term may be different than the term of the agreement but may not extend beyond this Agreement termination date. The Services Engagement document will be fully executed by the parties. Institutions may execute more than one agreement for services to support their needs over the term of this Agreement

2. **Term:** This Contract shall commence on **February 4, 2018** and shall terminate on **February 4, 2023**, unless terminated earlier as provided in this Contract with option for **two (2) one (1) year or one (1) two (2) year renewal** 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. **"Additional Services"** The University will have the option to purchase additional services under this Agreement.

As required by the University institutions, the parties will develop jointly specific Services Engagement documents. The required format of this document is detailed in **Rider D**.

4. **Termination:** The **Agreement or a Services Engagement (Rider D)** 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. **Rider D** – Services Engagement Form
- H. **Rider E** – Implementation Plan and Timeline
- I. **Rider F** – Contractor's Service Level Agreement to Support the University
- J. **Contract Amendments** as required
- K. **Request for Proposal #2018-23** Issue Date **October 11, 2017** Titled **Business Intelligence / Data Integration Solution**
- L. **Contractor's Bid in Response to Request for Proposal #2018-23** Proposal Submission Date **November 30, 2017** Titled **Business Intelligence / Data Integration Solution**

26. **Multi-Institution Capabilities** University will have the option to include products and services under this Agreement to additional University institutions, this includes any additional University institutions formed during the term of this agreement, all facilities utilized by an institution including those managed and/or owned by a third party, and additional entities, such as, the University College a division of University of Maine at Augusta.

**The Community College System and Maine Maritime Academy**, both public higher education institutions in the state, shall be permitted to piggyback off of the University's contract if they should so desire. The Contractor agrees to further provide the products and services, with all the same terms and conditions applicable, to these additional entities.

**27. Smoking Policy**

The University must comply with the "Workplace Smoking Act of 1985" and M.R.S.A. title 22, § 1541 et seq "Smoking Prohibited in Public Places." In addition, University Institutions may have specific Smoking Prohibitions. The Respondent shall be responsible for the implementation and enforcements of these restrictions.



**Signatures**

FOR THE UNIVERSITY OF MAINE SYSTEM:

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

(signature)

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

(print or type)

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

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

\_\_\_\_\_

\_\_\_\_\_

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

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

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

FOR THE CONTRACTOR:

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

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

(signature)

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

(print or type)

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

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

\_\_\_\_\_

\_\_\_\_\_

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

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: \_\_\_\_\_

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

Chief Procurement Officer or designee

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

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

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

Chief Financial/Business Officer or designee

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

As the University of Maine System (UMS) increasingly looks to data to inform decision making, the need for enterprise-wide data integration and Business Intelligence tools continues to grow. The UMS currently has a data warehouse, which is not widely used, and the ETL tool performing integration to the warehouse is end-of-life. At this juncture, we sought proposals for both a new Data Integration tool, as well as potential Business Intelligence tools, with which we will begin a new warehousing effort to replace the existing warehouse. As the University of Maine System increasingly looks to data to inform decision making, the need for enterprise-wide Data Integration and Business Intelligence tools continues to grow. The UMS currently has a data warehouse, which is not widely used, and the ETL tool performing integration to the warehouse is end-of-life.

### **This section will be modified based on the award**

This Agreement is a result of the award to the Contractor for \_\_\_\_\_ solution(s) to support the scope of work noted directly below.

### SCOPE OF WORK:

### **This section will be modified based on the award**

#### **UMS (minimum) requirements for Data Integration tool:**

- Access data and integrate with a variety of sources (both various databases & data files), as well as enterprise applications, such as enterprise resource planning (ERP), customer relationship management (CRM), Software-as-a-Service (SaaS); data services such as SOA and REST; and unstructured data sources.
- Insert, modify and delete data into a variety of target systems, such as databases and files.
- Must interact with sources and targets supporting a variety of data capture and delivery methods, including batch acquisition and delivery, bulk import and extract, change-data capture (CDC), and scheduled or event-based data acquisition.
- Must have basic transformation capabilities, including data-type conversion, date functionality, string handling, NULL processing, mathematical functions and relational-type logic. Must have workflow orchestration capabilities that include IF-THEN-ELSE logic, looping, case style conditional processing, and passing variables.
- Must have advanced transformation capabilities that support integration processing specific for DW and BI such as slowly changing dimensions (SCD), aggregation and time series.
- Must have advanced data mapping capabilities, including join, merge, lookup, aggregate, and substitute. Must allow for these to be data and context dependent (multiple possible ways of joining, provided context, etc.).
- Must have a graphical user interface, as well as option for custom coding. (Tools will be evaluated against ease-of-learning by current IT staff.)

- Must have software development functionality: version control, testing and production environments (with interactive testing and debugging ability), the ability to attach comments to code, and to create reusable and shareable components.
- Must support efficient operations with its capabilities for monitoring and optimizing integration and performance (run-time process monitoring and reporting, error notifications, warning and condition handling, and managing security). Preferably creates documentation with graphical representations of workflows.
- Preference for tools with performance tuning capabilities such as enabling parallelizing integration and data loading processes, adjusting use of memory in integration processes, adjusting database commit operations and the use of bulk imports and exports.
- Preference for tools with where-used, what-if and impact analysis capabilities for analyzing the use of data within sources, targets and transforms. In addition, data profiling of sources both stand-alone and within development GUI to examine the structures and sampling of data within data sources.
- Must have available documentation and support (preference for also having available training).
- The tool component architecture should support and extract, load and transform (ELT) architecture and NOT require a dedicated data integration server.
- Tools evaluated based on the estimated amount of time needed for an application programmer with database development experience to become proficient in developing and maintaining code for UMS DW. In addition, the level of effort to operate, debug and maintain code and processes developed using this tool should not require full-time dedicated personnel.

**UMS (minimum) requirements for Business Intelligence tool:**

- Access to various data sources (both databases & data files, including Excel), and preferably uses in-memory analytics capabilities.
- Accessible to end users using various platforms or devices such as a web interface, PC, Mac and mobile devices.
- Ability for end users to create both reports and visualizations/graphics (preferably the tool suggests options based on the data selected, and preferably offers advanced types of visualizations and out-of-the-box mapping with location awareness using city, state and zip codes rather than longitude and latitude). (Products will be evaluated on how easily these visualizations and tabular reports can be created by non-technical end users.)
- Ability for end users to filter and drill-through reports and visualizations along with context-based filters and context-based visualizations.
- Dashboard capabilities, including the option of linking or keeping independent from each other the various graphics/tables located on a single page (i.e., filters can be applied globally or locally).
- Ability for end users to cleanly export to PDF and to print without reformatting. Data tables should also export to spreadsheet file types. (Preference for the ability to embed reports and visualizations into Microsoft Office tools, with live updating from BI to Excel, Word, or PowerPoint.)
- Ability for end users to select what data they need and filter which columns or fields are selected. End users should be able to blend data from various data sources. This includes accessing the data and mapping or creating relationships with data from multiple sources. End users should also be able to rename and change formats of columns along with creating new columns derived from other columns using Excel-like expressions and calculations.
- Must allow end users to create, and save for future use, measures, calculations, metrics or KPIs usage within the tool.
- Ability for end users to create and save private queries/reports/visualizations and/or create them and publish them with other users.

- End users should be able create dimensional hierarchies to group and summarize data to establish drill-down paths, which should be automatically enabled in visualizations and reports.
- Preference for a tool that allows both live connection and offline updates of data, as scheduled by users.
- Available product documentation for administrators, IT staff, and functional area end users. Online tutorials or videos explaining how to create visualizations, tabular reports, hierarchies, calculations and other features is a plus.

**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. **Toll-Free Access:** The Contractor shall provide to the University, toll-free telephone access to technical support. The University prefers a unique toll-free telephone number just for the University. The Contractor shall provide an escalated support feature to ensure that unresolved support issues can be elevated to upper level management.
5. **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” 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.

6. **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.
7. **Implementation Plan and Timeline:** The Contractor is expected to develop, manage and report the status of the progress on the implementation plan and timeline as outlined in ***Rider E – Implementation Plan and Timeline***, of this Agreement.
8. **Service Level Agreement:** The Contractor is expected to provide, monitor performance and provide reports of its service delivery commitments to the University as outlined in ***Rider F – Contractor's Service Level Agreement to Support the University***, of this Agreement.

**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**

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  (Written on an Occurrence-based form) (Bodily Injury and Property Damage)	\$1,000,000 per occurrence or more
2	Vehicle Liability (Including Hired & Non-Owned) (Bodily Injury and Property Damage)	\$1,000,000 per occurrence or more
3	Workers Compensation (In Compliance with Maine and Federal Law)	Required for all personnel
3	Professional Liability Insurance (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)

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.

**RIDER D**  
**SERVICES ENGAGEMENT FORM**  
**Services Engagement to Agreement for Services**

This Services Engagement is entered into as of the date written below between \_\_\_\_\_ ("Contractor") and \_\_\_\_\_ ("Institution").

This Services Engagement shall be governed by the terms and conditions of the Master Level Agreement for Services dated \_\_\_\_\_ by and between \_\_\_\_\_ ("Contractor") and the University of Maine System, and is incorporated herein by reference.

This Services Engagement describes the Services to be provided by \_\_\_\_\_ ("Contractor") and the fees associated with such Services.

**INSTITUTION REPRESENTATIVE & PROJECT MANAGER:**

**CONTRACTOR REPRESENTATIVE & PROJECT MANAGER:**

**SCOPE OF WORK:**

**TERM:**

The term of this Work Order will be from \_\_\_\_\_ to \_\_\_\_\_.

Installation of the \_\_\_\_\_ shall be Substantially Complete on or before \_\_\_\_\_ subject to adjustments mutually agreed to by the parties.

**PRICE:**

**SIGNATURES:**

**Institution**

By: \_\_\_\_\_

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

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

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

**Contractor**

By: \_\_\_\_\_

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

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

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

**Chief Information Officer approval is required of any University of Maine System information technology service engagements.**

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

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

Chief Information Officer or designee

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

**RIDER E**  
**IMPLEMENTATION PLAN AND TIMELINE**

**<<BID INSTRUCTIONS – Bidders will insert their implementation plan and timeline here as part of their proposal/bid submission. >>**

**RIDER F**  
**CONTRACTOR'S SERVICE LEVEL AGREEMENT TO SUPPORT THE UNIVERSITY**

**<<BID INSTRUCTIONS – Bidders will insert their Service Level Agreement (SLA) here as part of their proposal/bid submission. >>**

## 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  (Written on an Occurrence-based form) (Bodily Injury and Property Damage)	\$1,000,000 per occurrence or more
2	Vehicle Liability (Including Hired & Non-Owned) (Bodily Injury and Property Damage)	\$1,000,000 per occurrence or more
3	Workers Compensation (In Compliance with Maine and Federal Law)	Required for all personnel
3	Professional Liability Insurance (Agents, Consultants, Brokers, Lawyers, Financial, Engineers, or Medical Services)	\$1,000,000 per occurrence or more
4	Marine General Liability (Any maritime or marine 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 brief company overview including corporate headquarters, number of employees, etc.
2. Briefly describe your BI or data integration product (if proposal is for both solutions, please describe both).
3. What are your top three differentiators/unique strengths?
4. What industries and customers do you serve? Provide examples similar to our size and scope.
5. What awards and accolades has your product received? (If proposal is for both BI and for data integration, please describe awards and accolades of each.)
6. Please provide at least 2 customer references that are similar to the University of Maine System.
7. **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.
8. Please provide your Service Level Agreement for your solution. This information will be used in **Appendix E, Rider F.**

## Appendix I – Evaluation Question(s) – Data Integration (DI) Tool

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

All responses to the questions will reflect what is offered as part of the Respondent's proposed solution. Respondents **MUST** indicate if the product or service requires modification, additional products or services, or if any other accommodation would be necessary to meet a requirement.

### Evaluation Question(s) – Data Source and Target Capabilities

1. Please list your data connectivity capabilities, both as data sources and targets in the following categories:
  - a) Relational databases
    - i. Please list connectivity method(s) supported, such as ODBC, JDBC, etc.
  - b) File formats such as CSV and Excel
  - c) Software-as-a-Service (SaaS) and cloud-based applications
    - i. Please list connectivity method(s) supported, such as web services, REST APIs, etc.
  - d) Non-relational databases
  - e) Semi-structured data such as XML and JSON
  - f) Unstructured data
  - g) Web services/SOAP, REST services and other APIs
2. Does your software provide automated metadata discovery, such as the listing of table/file and column/field attributes, for sources and targets?
  - a) Is this source and target metadata stored in a repository for reuse in any processes or jobs created with your software?
  - b) Is this metadata synchronized with data sources and targets?
  - c) If there are changes to source or target metadata, how are data integration processes and jobs synchronized?

### Evaluation Question(s) – Data Transformations

1. Please verify that your software handles basic data transformations, such as:
  - a) Data type conversions between different database and file types
  - b) Character and string manipulation
  - c) Mathematical functions and calculations
  - d) Date conversions and calculations
  - e) NULL processing
  - f) Simple logic and relational operations
  - g) Boolean operations

2. Please verify and describe that your software handles typical data warehousing and business intelligence (BI) processes and transformations, such as:
  - a) Change Data Capture (CDC)
  - b) Slowly Changing Dimensions (SCD). If yes:
    - i. What SCD types are supported
    - ii. Please describe how pre-built transformation(s) operate
  - c) Lookup functions
  - d) Mapping (joining or combining) multiple sources and lookups in one transformation
  - e) Splitting output from mapping transformations into multiple targets
  - f) Pre-built rejection handling processes such as rejecting rows when join criteria are not met or when data type errors are encountered? Please describe.
  - g) Merge
  - h) Join
  - i) Union
  - j) Substitutions
  - k) Aggregations
  - l) Data set processing, such as time series, pivot, depivot
  - m) Text string parsing and pattern matching
  - n) Please list and describe any other DW or BI processes or transformations supported
3. Please verify and describe that your software provides workflow processing, such as:
  - a) Looping
  - b) If-then-else
  - c) Case style
  - d) Passing variables
  - e) Please describe any other workflow processing capabilities
4. Please list and describe complex transformations (other than what has previously been mentioned) that are supported.
5. How would a developer create transformations that are not currently supported by your software?

**Evaluation Question(s) – Operations Management Support**

1. Please describe your error and condition handling capabilities, including:
  - a) Is there both predefined and customizable functionality?
  - b) When errors are encountered can the level of severity be defined allowing processing to either continue, stop or continue to another section of the workflow?
  - c) When errors are encountered, are they recorded in a repository or in a log file?
  - d) When errors are encountered, are notifications:

- i. Sent by email or other communication services. If yes, can the notification list for a specific error message be determined by dynamic criteria?
  - ii. Displayed on an administration interface?
  - iii. Displayed as developer is running a job?
2. Please describe your testing and debugging functionality in regards to:
  - a) Individual data integration process and jobs
  - b) Data integration workflows
  - c) Test comparisons with previous versions
3. Please describe your monitoring and management of runtime processes in regards to:
  - a) Is there a graphical interface to schedule, manage and monitor runtime processes? If yes, please describe capabilities.
  - b) Is there a command line interface? Is there a graphical interface to schedule, manage and monitor runtime processes? If yes, please describe capabilities.
  - c) Is processing metadata, i.e., data on runtime processes and statistics, captured and stored? If yes, please describe the level of granularity.
  - d) Are row counts, such as the number of rows read, inserted, modified, deleted and rejected, stored as part of the process metadata? If yes, please describe the level of granularity.
  - e) If process metadata is captured, is it stored in a repository or in log files?
  - f) If process metadata is captured, is there a prebuilt graphical interface to view this metadata and to analyze run-time performance to identify bottlenecks and trends?
4. Security mechanisms
  - a) Please describe your security controls for creating, running, monitoring and managing data integration processes.
  - b) How does your software interact with the security mechanisms of the data sources and targets, as well as the networks and operation systems they reside on?
5. Please describe your software's job scheduling capabilities in regards to:
  - a) Pre-built job scheduling functionality
  - b) Time-based and event-based scheduling
  - c) Command interface to schedule jobs
  - d) Ability to interact with any third-party job searching software. If yes, what 3<sup>rd</sup> party scheduling software is supported and how?

### **Evaluation Question(s) – Scalability & Performance Tuning**

1. Does your software provide the ability to manage the amount of memory allocated to the overall data integration job and/or for individual processes? If yes, please describe.
2. Is bulk import and export of files supported? If yes, please describe.
3. Is bulk import and export supported with relational databases? If yes, please describe.
4. Is parallelization of processes supported? If yes, please describe.

5. Is parallelization or multi-threaded loading of relational tables supported? If yes, please describe.
6. Is in-memory processing of look-up data supported? If yes, please describe.
7. Does your software provide the ability to manage the number of rows processed during commit and batch operations for relational database loads? If yes, please describe.
8. Please describe any additional performance tuning capabilities.

### **Evaluation Question(s) – Design & Development**

1. Describe how data integration processes or jobs can be designed into a workflow and distributed when run. Please include description of features such as:
  - a) How jobs can be split into parent and child jobs along with what inheritance occurs between them.
  - b) If/how portions of the workflow can be distributed across different CPUs/processors
  - c) If/how jobs can be partitioned based on dynamic criteria
2. Please describe support for reusable components such as maplets, joblets or knowledge modules.
3. Is there a graphical interface for job design including source-to-target mapping and job workflow? If so, please describe.
4. If graphical source-to-target mapping functionality is provided, does it include:
  - a) Automatic populating of table/file column/field names, data types and other attributes
  - b) Data profiling of data structures such as row counts, data relationships, etc.
  - c) Data sampling of predetermined number of rows from data sources
  - d) Ability to select which columns/fields from data sources and targets will be processed
  - e) Ability to customize SQL or other relevant query language code that ingests source data
  - f) Ability to specify different types of joins between data sources
  - g) Ability to filter rows selected from data sources based on data values or variables
5. Team development, version control and release management
  - a) Please describe your team development capabilities
  - b) Is there pre-built version control and release management functionality? If so, please describe.
  - c) Does your software interact with any third-party source control and release management software? If so what 3<sup>rd</sup> party products and how?
6. Documentation functionality
  - a) Does your software generate documentation of the source-to-target (S2T) mappings? If yes, please provide samples.
  - b) Does your software generate documentation with graphical representations of data integration workflows and dependencies? If yes, please provide samples.
  - c) Does your software provide where-used, what-if and data lineage capabilities for analyzing the use of sources, targets and transforms? If yes, please provide samples.

**Evaluation Question(s) – Product Architecture**

7. Please describe your data integration architecture and provide Architectural diagram(s), in regards to:
  - a) Software components and services
  - b) How deployed: on-premise, cloud or hybrid
8. Does your software require a dedicated integration server in the classic Extract, Transform and Load (ETL) or would it be described as a Extract, Load and Transform (ELT) product?
9. Please list and describe any data delivery method supported besides bulk/batch (ETL-like) data movement, such as data federation/virtualization, message-oriented delivery, and data replication and synchronization.

**Evaluation Question(s) – Deployment Platform Support**

1. Can the software be deployed in an extract, load and transform (ELT) architecture or is an ETL architecture requiring a dedicated data integration CPU/server where data needs to be extracted from source(s), transformed and then moved to target? Describe:
  - a) Component architecture
  - b) Server/CPU requirements
  - c) 3<sup>rd</sup> party or other vendor's software required for tool
2. Can the software be installed and deployed on-premises at customer site?
3. If yes re: on-premise, what operating system (OS) are supported:
  - a) Windows and what versions
  - b) Unix or Linux and what versions
4. If yes re: on-premise, does it support virtualization?
  - a) If yes, what virtualization software and versions?
5. Can the software be installed and deployed in the cloud?
6. If yes re: Cloud deployment, what environment(s) are supported;
  - a) Hosted, i.e., dedicated, single-tenant implementation
  - b) Cloud infrastructure platforms such as Azure or AWS
  - c) Integration platform as a service (iPaaS), i.e., multi-tenant environment managed by software provider.

## Appendix J – Evaluation Question(s) – Business Intelligence (BI) Tool

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

All responses to the questions will reflect what is offered as part of the Respondent's proposed solution. Respondents **MUST** indicate if the product or service requires modification, additional products or services, or if any other accommodation would be necessary to meet a requirement.

### Product and Platform Capabilities

#### Evaluation Question(s) – Data Connectivity & Integration

1. Please describe how your platform integrates with Microsoft Office components such as Excel, Word, Access and PowerPoint.
2. Please verify and describe data connectivity to the following:
  - a) Relational databases via ODBC/JDBC
  - b) Relational databases via native connections
  - c) File formats such as Comma-separated values (CSV), Excel, and other
  - d) Web services such as REST or SOAP
  - e) Cloud applications, such as Salesforce and Concur
  - f) OLAP (online analytical processing) databases such as Microsoft SQL Server Analysis Services or Oracle OLAP
  - g) XML or JavaScript Object Notation (JSON) sources
  - h) Cloud databases such as Azure SQL, Amazon Redshift and Google BigQuery
  - i) NoSQL databases or Hadoop
3. Please describe the graphical interface and capabilities available for defining data connections to be used in reports or dashboard. Provide samples, and include the following:
  - a) When a data source is selected, such as a database, file or application, does the interface provide a list of the tables/columns or fields that are available to query from that data source?
  - b) If a list is presented (above), can the user select & de-select objects that will be queried?
  - c) If a list is presented (above), can the user rename objects, alter data types or format read in, create new columns, and apply formulas or manipulate the data?
  - d) Can the user see sample data from the sources? If yes, can users specify the number of rows sampled?
  - e) Will relationships between data source objects, such as foreign keys between relational tables, be graphically identified?
  - f) Does the interface identify data source objects that are related to each other, such as through foreign keys? If yes, how many levels of relationships?
  - g) If there are circular loops with multiple foreign keys, how does the software handle? Does it automatically deactivate selected relationships to avoid loops or stop loading the data until the user handles themselves?

4. Is a scripting language available to define data connectivity as described above? If yes, is it required to define data connectivity or an alternative to the graphical interface? Describe and provide samples.
5. Can a user define direct data connections for a report or dashboard or is an IT person required to create a semantic layer? If yes, please describe.
6. Does your platform's connectivity to relational or columnar databases include the ability to write or modify SQL queries?
7. Does your platform offer connectivity to OLAP databases or Excel? If yes, is there an ability to write or modify Multidimensional Expressions (MDX) or DAX queries?
8. What are the different options you offer for connecting to data sources (e.g., native API, scheduled file transfer, manual upload)?
9. Describe how data can be refreshed in a report or dashboard. Is the data always refreshed when the report or dashboard is opened? If the data can be preloaded in the report or dashboard, can the load be scheduled or is it manually done each time?
10. Please describe the process of acquiring cloud-based, enterprise on-premises, and personal data sources, and to combine those for analysis and reporting. Are there third-party software or hardware requirements to do this?
11. Is it possible for a business user or decision maker with limited technical expertise to connect data sources? If so, describe how.
12. Describe how the user can view statistics on the overall quality and distribution of the data. Is this data available to all users of the platform? How does your platform help users identify potential issues with the data?
13. Can data be extracted from your platform? If yes, describe and provide samples.

**Evaluation Question(s) – Data Preparation**

1. Describe the included ETL/data integration, data blending, data wrangling or data preparation capabilities of the platform. What technical skill sets are required?
2. List and briefly describe third party data preparation products that work with your platform.
3. Describe the skill sets required of users who wish to blend data from their desktops into the data available in your platform.
4. Describe how your platform supports users creating data mashups and modeling. (e.g., combined multiple data sources and apply logic/transformations to create a dataset ready for analysis).
5. Describe how the user enhances data such as renaming, combining or splitting columns, automatic date transforms, etc. when using your platform.
6. Describe how data is stored and managed in your platform.

**Evaluation Question(s) – In-memory processing**

1. Is in-memory processing being used for data preparation processing? If yes, describe the architecture and where the processing is occurring such as user's desktop, on-premise server or in the cloud.
2. Is the data being stored in-memory when someone is using data visualizations, reports and dashboards? Describe the supporting data and component architecture.



**Visualizations & Dashboards****Evaluation Question(s) – Content Creation**

1. List what platforms are available for content creation such as web-based browsers and operating system specific desktops such as Windows or OSX? If web-based, with which browsers is it compatible? Describe what our organization will need to do to ensure browser version compatibility over time.
2. If the content creation platform is OS-specific, is there another platform for end users to access content that is web-based?
3. Describe dashboard design capabilities and ease of use. Can users build their own data visualizations, reports and dashboards? What skills are required to do so?
4. Describe pre-built analytic content available to users for immediate consumption. How do users access the content and do they need administrative oversight?
5. Describe the chart types and data visualizations your platform provides such as bar charts, pies, doughnuts, treemaps, heatmaps, boxplots, histograms and bubble charts.
6. Does your platform provide the ability for users to modify the visual aspects of visualizations such as color, font, text size, etc.? Does your platform enable users to create consistent visualizations within a dashboard? Does your platform enable users to use both hues and color selection in creating visualizations? Describe.
7. Does your platform assist users in selecting appropriate visualizations based on what data they are working with?
8. Does your platform provide address geocoding rather than requiring longitude and latitude? Describe how geographic map visualization capabilities, how the maps are created, what data is needed to generate the maps, i.e., ZIP Codes, longitude/latitude, city names, and what prerequisite software, if any, is necessary to enable the mapping.
9. Describe the ability to arrange multiple visualizations on a page. Does your platform offer users the choice of interconnected filtering across visualizations (apply filter to one visualization and it's applied to all on the page) or independent? Can this only be decided by the visualization creator, or can non-authoring end users choose for a page's visualizations to be interconnected or independent, depending on their current needs?
10. Does your platform support the ability to create a customized visualization that can combine multiple KPIs and metrics to tell a story graphically, similar to infographics? Please provide examples of infographics created for other clients.
11. Does your platform offer open APIs for integration with third-party visualizations or analytical functions?
12. Does your platform enable a user to re-use and share content with others? Please describe.
13. Can we incorporate documents not created in the BI tool into the business management platform (e.g., PPT or PDF docs, etc.)?
14. Describe how your platform handles the display of dashboards and visualizations on different devices such as different size monitors with different screen resolutions and mobile devices such as tablets and smartphones.

**Evaluation Question(s) – Discovery and Exploration**

1. Describe the ability to create storyboards that connect multiple data visualizations together.

2. Describe the ability to manipulate and filter data. Are filters context-based? Can the filters be visualizations?
3. Describe the ability to drill down on any dimension, attribute, or metric in a data set.
4. Describe how hierarchies are created and who has the ability to do so.
5. Does the system allow end users to create custom calculations? Can these then be shared with other users?
6. Does your platform offer pre-built relative-time capabilities such as period to date, last X days, etc. analysis?
7. Does your solution offer system-wide content search capabilities?
8. Describe any statistical functions available in your platform such as mean, median, min, max and standard deviation.
9. Does your platform offer any analytical functions, such as time series analysis?
10. Does your platform offer any advanced algorithms or visualizations?
11. Does your platform interact with any external statistical models created by R, SPSS or SAS?

**Evaluation Question(s) – Scheduling and Distribution**

1. Does your platform provide reports to users (both internal and external) on an on-demand or scheduled basis? Is it able to schedule reports to be distributed based on date/time and events that have occurred?
2. Does your platform provide presentation (Excel, PPT, Word) as well as print capabilities? Please provide examples of exports.
3. Describe how your platform translates reports and dashboards into paginated prints?
4. Does your platform send automated email/SMS text messages of scheduled output?

**Evaluation Question(s) – Collaboration & Sharing**

1. Does your platform enable users or teams to collaborate natively within the platform? If so, does your platform offer both private and public collaboration channels as well as direct messaging?
2. Does your platform support mobile collaboration?
3. Describe the platform's project planning and task assignment capabilities. Can tasks be assigned directly from within the collaboration tool?
4. Is it possible to receive alerts from third party applications within your collaboration tool?
5. Describe how you enable discussion threads and commentary on shared content (reports, dashboards, analysis). Can users see a snapshot of the data at the time of the comment in the discussion thread? Is chronology and all history maintained? Can file attachments be shared?
6. Describe your platform's ability to publish data dynamically to a website or URL? Are there additional fees associated with this? Can this be encrypted?
7. Can owners be assigned to system content, including data sources, reports, etc.?
8. Does your platform offer the ability for users to follow other users based on their interest areas?

**Evaluation Question(s) – *Mobile & Alerts***

1. Can users create their own, customizable business rules and alerts?
2. Describe the delivery methods available for alerting (email, RSS feed, mobile, other).
3. Describe the solution's mobile experience (phone and tablet). Specify which native mobile apps are available. How frequently is content updated for mobile consumption?
4. How can we easily view what content is trending or most popular in our organization?
5. Are visualizations consistent across all platforms (e.g., desktop, web, mobile)?
6. Describe your platform's offline capabilities and limitations.

**Evaluation Question(s) – Deployment & Adoption**

1. What specifically do our IT or BI teams need to do to support the solution?
2. Please provide an example of a typical deployment timeline.
3. What are common deployment challenges, and how do you help your clients overcome them?
4. Do you utilize the platform within your own organization? Describe the complete solution in-use including metrics on utilization.
5. How do you ensure transmission of best practices in deployment that will result in a rapid path to value from our investment in the solution?
6. Describe your consulting services and the expertise of your consulting deployment team.
7. Describe typical use cases when an organization would engage your consulting team. In those use cases, what resources are required from our organization?

**Evaluation Question(s) – Client Services**

1. What support and client care do you offer?
2. How do you measure client satisfaction?
3. What are your standard service levels and response times, including system uptime?
4. Describe how we may engage your support team for any incidents and issue escalations.
5. Describe the types of online training resources (user guides, tutorials, modules) provided by your organization, as well as any live support offered.
6. Does your tool have embedded capabilities to interact directly with a customer community? Directly with Product Management? Customer Support?
7. Do you offer an online community for sharing best practices among all of your clients' users?
8. What is your approach to product development and how do you prioritize enhancements?

**Evaluation Question(s) – Availability**

1. Describe your scheduled maintenance frequency. How will you notify us of changes and how much lead-time is provided?
2. What software or hardware is needed? How do you handle the release of enhancements, upgrades and ongoing maintenance?
3. Describe your formalized and documented Disaster Recovery Plan for business continuity.
4. What is your backup policy and procedure?

**Technical Architecture and Data Security**

**Evaluation Question(s) – *General***

1. Please provide a simplified description of your solution so our technical team can understand the general context.
2. Please quantify the volume of transactions your solution currently supports.
3. Please describe your system's ability to dynamically scale based on user and query demands.

**Evaluation Question(s) – *User Roles***

1. Describe the various user roles supported, such as administrative, content creator (publisher) and consumer (subscriber) roles. Compare the functions and capabilities each role has.

**Evaluation Question(s) – *Authentication***

1. Please outline the various user levels and their associated permissions and capabilities. Does the platform support column, row, and cell (object) level security?
2. Do you support both individual-level security as well as role-based?
3. Describe how the Business Management Platform is able to import and seamlessly leverage security defined in another application (s) such as Salesforce, SAP, Oracle, etc.
4. Do your tools leverage a common security definition or common security principles?
5. Describe the platform's audit trail capabilities with regard to user transactions, accessed data, failed logon attempts, and protection of the logs against modification and unauthorized use, etc.

## Appendix K – Evaluation - Accessibility Requirements

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

The University is required by policy and law to procure Information Technology products, services and materials, such as software, hardware, web services, media assets, etc., that provide substantially equivalent opportunity, access and ease of use to persons with disabilities.

### Evaluation Question(s) - Accessibility Standards Compliance

1. If the solution includes any end-user-facing human interface, such as an end-user device software component, web pages, web site, video or audio playback, file upload, mobile device apps, etc., or produces electronic materials such as documents, PDFs, etc., Respondents will submit as part of their bid either, or both, of the following assessments covering all Information Technology-related products, services or components that users, managers, installers, system administrators, etc., are expected to interact with:
  - a. Current and accurate "Voluntary Product Accessibility Template", or VPAT, (see <http://www.itic.org/public-policy/accessibility>), to document products and/or services' conformance and deviations from Section 508 of the Rehabilitation Act of 1973.and/or
  - b. Detailed description of the accessibility features in the bid products and/or services that shows and explains compliance with and deviations from the guidelines of the "Web Content Accessibility Guidelines (WCAG) 2.0 Level AAA" published by [www.w3.org](http://www.w3.org)

### Evaluation Question(s) - Accessibility Practices

1. If the solution includes any training materials or activities that include any electronic materials or delivery platforms, how do you ensure that such materials and platforms meet disability accessibility requirements, such as Section 508 or WCAG2.0?
2. How do you ensure that your customer support phone lines, help system, customer portal, knowledge base, end-user ticket system, etc., meet disability accessibility requirements, such as Section 508 or WCAG2.0?
3. How do you ensure that software/application changes, patches, new features, etc., do not introduce new disability accessibility issues?
4. How you ensure that all mobile device interfaces to your solution comply with disability accessibility requirements such as Section 508 and/or WCAG2.0.
5. How do you ensure that emails and attachments sent by the software/applications, or by your staff, to University staff, faculty and/or or students, comply with disability accessibility requirements, such as Section 508 or WCAG2.0.
6. How do you ensure that all reports produced by the software/application meet disability accessibility requirements, such as Section 508 and/or WCAG2.0, and that any PDF-formatted reports also meet these requirements?

## Appendix L – Evaluation Question(s) – Information Security

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

All responses to the questions will reflect what is offered as part of the Respondent's proposed solution. Respondents **MUST** indicate if the product or service requires modification, additional costs, products or services, or if any other accommodation would be necessary to meet a requirement.

**Evaluation Question(s) – Technical Security Evaluation**

1. Is any of your solution cloud-based, Software as a Service (SaaS) or hosted on any system that is not operated by the University of Maine System or is any sensitive data transmitted, stored, or processed by the bidder or a contractor of the bidder?

If the answer to Question 1 is yes, fill out the attached Educause-created Higher Education Cloud Vendor Assessment Tool - Lightweight version ([HECVAT-Lite](#)) spreadsheet. If the bidder has a previously completed full version of this tool ([HECVAT](#)), it can be submitted in lieu of the "lite" version.

When addressing HLAA-01 regarding password complexity the institution's password complexity is as follows: *At least eight characters length, contain at least one upper and one lowercase alphabetic characters, contain at least one numeric or special character, be changed at least annually and not be reused for at least 2 years.*

Supplementary information that helps address the questions or describes the information security program and controls (such as a diagram for question HLA-05) is welcome but is not to be substituted for answering the questions.

2. Does your product process protected health information (PHI) or any data covered by the Health Insurance Portability and Accountability Act (HIPAA)?

If the answer to Question 2 is yes, provide us with your latest HIPAA audit results. You will also be required to sign a business associate agreement.

3. Does your solution involves processing credit or debit card payment transactions?  
If the answer to Question 3 is yes, provide your latest attestation of compliance (AoC) or Report on Compliance (RoC) and answer the questions below:
  - a. Describe all the payment methods you would support (i.e. card-present, card-not-present, and e-commerce transactions as applicable).
  - b. Do you intend on processing transactions using your merchant account or the University's merchant account?
  - c. What processors are involved in transactions and do you support payments involving Touchnet?
  - d. Comment on the level of compliance self-assessment (e.g. SAQ A, B, P2PE-HW, SAQ D) would the University likely be required to meet with your proposed solution? We understand any final determination of self-assessment is determined between the University and our QSA.

4. Is your company a consulting firm providing only consultation to the Institution?  
If the answer to Question 4 is yes, answer the following questions:
  - a. Will the consulting take place on-premises or remotely?
  - b. Will the consultant require access to institution network resources?
  - c. Will the consultant require access to hardware in the university data centers?
  - d. Will the consultant require an account within the institution's domain (@.edu)?
  - e. Has the consultant received training on sensitive data handling?
  - f. Will any data be transferred to the consultant's possession?
  - g. How long will it remain in their possession?
  - h. Is it encrypted (at rest) while in the consultant's possession?
  - i. Will the consultant need remote access to the institution's network or systems?
  - j. What software will be used to facilitate that access?

- k. Can we restrict that access based on source IP address?
- 5. Do you require Social Security Numbers to be used in your system?  
If the answer to question 5 is yes, please explain the purpose of using this high-risk data element.
- 6. Include a statement that notes your acceptance to the conditions stated in **University of Maine System, Contract for Services, Rider C. Standards for Safeguarding Information**, as part of the agreement.

## Appendix M – Evaluation Question(s) - Information Technology

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

All responses to the questions will reflect what is offered as part of the Respondent's proposed solution. Respondents **MUST** indicate if the product or service requires modification, additional costs, products or services, or if any other accommodation would be necessary to meet a requirement.

### Evaluation Question(s) - Implementation Questions

1. Describe your recommended implementation strategy, best practice consulting options, and professional services. The University of Maine System requires the review of consultant's credentials/experience and reserves the right to request replacement if he/she fails to meet expectations at any time.
2. Describe the steps your firm will take to understand the business model and functional needs of the client and ensure that during the configuration and implementation process the product will be applied for optimal performance and satisfaction.
3. It is expected that the Respondent will assign a Project Manager who will have responsibility for its implementation team, and who will partner with the University's Project Manager.
  - a. Describe your project management approach.
  - b. What project management tools do you use?
  - c. Describe the project management offered as part of a standard implementation.
  - d. List the typical Project Management qualifications and/or certifications, such as PMP, held by the Project Manager(s) that would be assigned to this engagement.
4. Indicate your timeline from implementation start to "go live" date. Provide task lists and timelines for a standard implementation. This information will be used in **Appendix E, Rider E**. A sample project plan would be helpful.
5. Describe the support your firm provides following the "go live" date and until the product is fully operational and functioning effectively to the satisfaction of the client.
6. Outline the staffing and composition of the implementation team.
  - a. Include University staff and roles, Respondent staff and roles, and proposed hours required for successful implementation.
  - b. Indicate the time commitment to implement this solution including functional and technical resources within the University.
  - c. Describe the skill set required for the staff person responsible for configuration and implementation before and after "go-live".
7. Identify any third party Respondents involved in your implementation strategy and describe these relationships.
  - a. Indicate whether these relationships are required or optional for implementation of the proposed solution.
  - b. Provide detail associated costs and requirements related to the third party Respondent.
  - c. Explain the process for managing the third party Respondent's performance. Specifically, how are performance issues addressed.
8. Can the implementation be fast tracked, and if so, what are the options?



9. What release/version are you proposing for the University of Maine System and when is the next release/version due out?
10. Explain how patches or updates released during implementation would be handled. Describe the change management process.
11. Please provide a roadmap of your hardware/software solutions that reflects their present states as well as future states for at least the next 18 months.

**Evaluation Question(s) - Training Questions**

1. Describe the standard training included as part of implementation.
2. Describe ongoing training options available for functional and technical users.
3. Describe the training methods available such as on-site, online instructor led, online self-help, documentation, etc. Provide an example of each method where possible, e.g. written documentation or webinars.
4. Describe your training best practices and what you would recommend for a successful implementation of this product.
5. Are there any particular user areas where special or unusual training is required? If yes, please describe.

**Evaluation Question(s) - Support Questions**

1. Supply your firm's mission statement or policy regarding customer satisfaction and support.
2. Explain what type of documentation, or help system, is included with this solution. Describe all documentation available online to IT support staff.
3. Is there a customer portal available for clients to report issues and obtain information via a knowledge base? Is the knowledge base available within the product's back office?
4. Describe your incident, request and problem management processes. Describe these processes in terms of how the client submits a request, such as thru a service desk or website, and how you respond, thru resolution. What is the standard wait time for an initial response? Provide an example.
5. What is the process for an emergency, e.g. system down, from notification through resolution?
6. What services or events do you offer clients to maximize or leverage the features/functionality of the solution?
7. Describe how you manage on-going contact with your clients. Would the University of Maine System be assigned an account manager? What expertise would that person have to support our needs? What is the ongoing relationship between the account manager, support, and the product developers?
8. What is the process if a portion of the solution's functionality does not meet the specific needs of the University after implementation, i.e. how would you proceed to "fix" the problem?

9. Describe your approach to ensuring and monitoring system performance. Do you provide dashboards showing system performance and health?
10. Please provide a sample Service Level Agreement (SLA) related to your services.
11. Please provide a detailed account of your actions should you miss a Service Level Agreement (SLA) requirement, if applicable. Include a description of the actions you would take to assure the lapse did not occur again. Would the University of Maine System be eligible for subscription fee credits as a result of the lapse?
12. What level of support should the UMS be expected to provide to ensure success in the use of your service? What is the standard support model, and what is the estimated effort involved for the UMS? Include your thoughts on the UMS responsibilities related to installation, problem investigation, software management (if not fully SaaS), and administration of the service.
13. How do you obtain and prioritize feedback for changes or enhancements to your solution? (i.e. user groups, customer service, company representatives, etc.) To what degree do you rely on developers outside your organization to stay on top/ahead of the quickly changing technology field and what types of contributions are they able to make?
14. How is the University notified and alerted to problems, bugs, issues, security holes, and new patches available?
15. Is there an active development community available for the University to participate in? How large is the community? Is a non-disclosure agreement (NDA) required for the University to participate? Is there a community-developed knowledge base? If so, please describe.

**Evaluation Question(s) - General Technical**

1. Please describe your offering as a Service (SaaS)/hosted, and/or University onsite deployment environments.
  - a. If onsite, detail the hardware, core product software, storage, and database requirements of each environment.
    - i. Define server requirements and provide specifications (including recommended operating systems, web server software, etc.)
    - ii. Define the minimum desktop workstation hardware and software requirements mandated by the proposed solution.
    - iii. Describe details of network communications required between the web server, app server, database server, and any other required servers.
  - b. If SaaS/hosted, list normal scheduled downtime frequency, standard day/time slots, etc.
2. Describe deployment instances of the environment, such as test, development and production. Are all of the instances available to the UMS? If yes, detail the types of instances and how access to these instances would be provided.
3. Identify which components of your products or services are provided by third-party technology partners. This includes OEM software, hosting, internal application network, etc.
  - a. Describe the underlying technologies for the component(s).
  - b. Provide the third-party technology partner(s) name(s), address(es) and contact(s).
  - c. Explain additional costs or fees associated with the components.
4. Describe practices and policies related to data stored by this solution.

- a. Clarify the data ownership rights and responsibilities of the parties and provisions for the University obtaining the data as needed even if the contract is terminated.
  - b. Indicate types of data stored especially if any data is protected (HIPAA, FERPA, etc.).
  - c. Indicate how long data is stored or archived.
  - d. Describe the technology, practices and policies you have in place that would protect the UMS data from unauthorized access and use.
5. If your solution is SaaS/hosted, provide a description of your business continuity management practice.
  - a. If the software is deployed in multiple sites (data centers), how often is data synchronized between the data centers?
  - b. Describe your strategies for minimizing downtime in the event of a catastrophic failure of the hosting environment(s) or components.
    - i. Would the UMS experience any loss of data as a result of downtime, system problems or catastrophic failure? If so, describe the situations that could result in loss of UMS data.
    - ii. How much downtime should we expect for a catastrophic failure?
6. Provide a description of your change management practice for all hardware and software components.
  - a. How often is the software updated and releases made available?
  - b. How are we notified?
  - c. Are updates and upgrades opt-in or mandatory?
  - d. What provisions do you have for managing customization requested by the UMS?
  - e. How are the updates accomplished?
  - f. How do you ensure that the system functionality is sufficiently tested before changes go into production?
  - g. What are the UMS options, roles and responsibilities for reviewing and approving changes?
7. Provide detailed information regarding browser requirements for the software proposed to meet the functionality and system requirements of this RFP, including any specific required versions and/or add-ins.
8. Describe the mobile capabilities available with the proposed solution.
  - a. Indicate supported mobile platforms.
  - b. Describe implementation of mobile capabilities (i.e. mobile-enabled, apps, etc.)
  - c. Explain how and when mobile updates are provided.
9. While importing data from the UMS sources, does your company provide full data hygiene, including comparing several data sources, and removal of duplicate records.
10. Does your solution provide data exports for upload to the UMS systems? If so, please describe the types of information exported and the process employed.
11. Does your solution have the ability to automate data importing and exporting?
12. Does this solution come with a comprehensive data dictionary of the database?
13. Describe the ability to add fields and tables to the database for University needs.
14. Do you plan to offer a solution to integrate with an Identity Management System?
  - a. If so, describe how you deliver this solution.
  - b. Does your solution offer capabilities to use CAS or Shibboleth for Single Sign-On (SSO)? If not, then what do you offer?

- c. Describe your SSO implementation requirements.
  - d. Do you deliver an API that would allow for the remote management of user authorization data? If so, describe how you deliver this solution.
15. Describe the ongoing functions to be performed by the University systems administrator and applications administrator?
16. What is the maximum number of concurrent users logged in simultaneously your system can support? Describe how your system defines concurrent users.

**Evaluation Question(s) - Technical Interface Data Exchange Requirements**

The following provides the interface data exchange requirements for the Respondent's solution.

1. Transfer of data will ONLY be accomplished using secure methods such as, but not limited to HTTPS, SCP, SFTP. Proposers must provide secure file transfer solutions and may recommend alternative processes if they would be beneficial to the UMS. Any alternatives must be described in detail and are subject to the UMS's approval. For all proposed methods of transmission, the Proposers must provide the technical requirements for establishing each method and processing transactions, a detailed description of security and authorization processes and requirements, including forms, delegation options, encryption or authentication requirements, and devices or digital certificates, alternatives available if a standard transmission method should fail, and disclose any software limitations on file sizes or numbers of records in a batch.
2. UMS prefers that whenever possible data is encrypted via PGP/GPG at rest and only decrypted when needed during processing.
3. All responses to the requirements should reflect delivered, or out-of-the-box, functionality. Respondents MUST indicate if system modification, additional products or Respondent's, costs or if any other accommodation would be necessary to meet a requirement.

**Evaluation Question(s) – Technical Interface Data Exchange**

1. Please indicate your acceptance and compliance with the high-level Interface Data Exchange Requirements outlined above, including your understanding that the Interface Data Exchange may require additional requirements definition and that your proposed solution considers this task and the resulting work in-scope. Indicate any areas of noncompliance or other concerns with these requirements.
2. Detail what security protections for the Interface Data Exchange are afforded by the solution proposed?
3. Does your solution support needs for sharing and linking data with other applications and databases?
4. Although not a requirement of this proposed solution, is there an existing interface with PeopleSoft, or would a custom interface need to be developed?
5. Does your solution allow easy integration with other applications including desktop tools, for example, Microsoft Office Professional Suite (Word, Excel, PowerPoint, Access Dataset)?
6. Does your system provide for auto/mass load of new records (including ID records), matching on IDs where necessary (non-ID records) to obtain data from external sources? Users MUST be able to perform the load, preview it online, and set additional rules before committing it to the database. It is

preferable that a wizard or other user aid be available for this purpose. Some "uploads" may be updating existing records.