University of Maine System
Grant Management Business Analyst Services - RFP# 2018-21
ADDENDUM #01

CLARIFICATIONS

1. **Section 1..3.1 Timeline of Key Events**

   Deadline for Proposal Submission is extended to November 17, 2017.

Reference Section	Event Name	Event Due Date
Section 1.2.2	Deadline for Written Inquiries/Questions	October 26, 2017
Section 1.2.2	Response to Written Inquiries/Questions	October 30, 2017
Section 1.2.2	Deadline for Proposal Submission	November 17, 2017
Section 1.3.8	Estimated Respondent Presentation Date **(subject to change)**	November 15 & 16, 2017
Section 2.2	Award Announcement **(subject to change)**	November 29, 2017
	Estimated Agreement Start Date **(subject to change)**	December 11, 2017

2. **Section 1.1.3 Purpose replace with the following:**
   The University of Maine System (UMS) is initiating a project to implement a comprehensive and sustainable grants management system to support the administrative and programmatic functions of research administration.

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

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

   To help the UMS determine the best path forward and ensure the project achieves overall success, the UMS is seeking the services of an experienced Business Analyst with an extensive background in grants management operations and solutions for large, complex clients, and with knowledge of

higher education industry trends. A functional knowledge of Peoplesoft Financials and HRMS systems and associated integrations is also desired.

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

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).

In support of the scope of work, UMS will provide:
- An oversight committee (Core Team) will assist the selected Business Analyst resolve issues that the stakeholders cannot.
- A project manager as a point of contact who will facilitate needed discussions with the applicable stakeholders and internal subject matter experts related to:
    o Grant management life cycle.
    o PeopleSoft Financial data.
    o Programming requirements (dependent software systems).

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

3. **Section 1.1.4 Specifications / Scope of Work and Appendix E, Rider A, Product Scope of Work will be replaced with the following:**
The following provides the scope of work required:
   A. **Business Analyst (Consultant) Responsibilities**
       1. Needs Assessment - Work with UMS team to identify the project's business objectives and desired outcome for a comprehensive grants management solution.
       2. Identify potential options that will fulfill the project's business objectives
       3. Facilitate the process to evaluate, rank and select the most desirable option
       4. Conduct process and workflow analysis to develop formal functional and technical requirements for a Request For Proposal (RFP).
       5. Identify project success factors.
       6. Work with the University's Strategic Sourcing Manager and the RFP Core Team to develop the RFP.

B. Required Skills
1. Ability to define and document functional and technical requirements, and grants management processes across the entire grants lifecycle.
2. Extensive experience in grants management software implementations and conversions.
3. Comprehensive knowledge of current grants management solutions including their pros and cons
4. Understanding of the day-to-day operations, processes, practices and challenges of grants management functions within the higher education sector.

C. Desired Skills
1. Functional knowledge of PeopleSoft Financials and HRMS systems and the associated integrations

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

D. Project Deliverables:

1. **Needs Assessment: University dialogue and input; Review and analyze existing documentation.**
Development of the needs assessment must be completed through an inclusive process. This process must engage and facilitate input and feedback from the following University stakeholders:
   - UMS Core Team
   - Subject Matter Experts
   - Senior University officials.
   - University of Maine System Information Technology staff

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

   The Needs Assessment report shall include a summary of the results of the process, a draft of the goals, objectives and guiding principles, and desired outcomes. This report will be submitted to the UMS Information Technology and UMS Core Team for review and approval.

2. **Identification and Evaluation of Potential Grants Management Solution Options**
This document will identify potential options for implementing a comprehensive and sustainable grants management system and should address the following:

- Summary of grant management systems utilized by educational institutions of similar size and research portfolios.
- Identification and evaluation of potential grants management options.
- Draft process to evaluate options and decide upon a path forward.

The UMS Core Team will review and collaborate with the Consultant and ultimately recommend the concept plan to the University leadership for approval.

3. **Draft Functional & Technical Requirements for RFP**
This document will be the baseline deliverable and shall, at a minimum, address the following:
- Process and workflow analysis findings and assumptions.
- Draft functional and technical requirements.
- Draft documentation of project success factors.

The approved Draft Functional & Technical Requirements will serve as the basis for development of the Request for Proposal.

4. **Final Functional & Technical Requirements for Request For Proposal (RFP)**
The complete requirements shall be developed based on the approved draft document. The Final Functional & Technical Requirements shall detail:
- Final process and workflow analysis findings and assumptions.
- Final functional and technical requirements.
- Final documentation of project success factors.
- Final process to evaluate options and decide upon a path forward.

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

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

5. **Presentations**
Presentation of findings and recommendations are anticipated at completion of the following phases:
- Submittal of Needs Assessment
- Identification and Evaluation of Potential Grants Management Solution Options
- Submittal of Draft Functional & Technical Requirements
- Submittal of Final Functional & Technical Requirements

The University will require as many meetings and presentations as necessary. There should be no assumption on the number of presentations or the number of trips required. Presentations are the formal promulgation of the Final Functional & Technical

Requirements and its components to all vested parties and are to be in addition to all working session presentations given to the University leadership and the project staff. Professional-level presentation graphics are required.

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

QUESTIONS

1. How many high volume internal users do you anticipate (high volume is defined as those users logging on to the system 40 or more hours/month)?
   ANSWER:
   The final estimates on the number of internal users will be based on the analysis and deliverables provided by the Business Analyst.

2. How many low volume internal users do you anticipate (low volume is defined as those users logging on to the system less than 40 hours/month)?
   ANSWER:
   Refer to answer in question 1.

3. Do you have a current system in place? If not, what are you using currently to manage your grants process (i.e. spreadsheets, etc.)?
   ANSWER:
   No. Each campus utilizes a combination of Access databases, spreadsheets, and webforms. Data we need to manage is contained in PeopleSoft general ledger systems including trees and chart attributes

4. Will you need data migration as part of the implementation?
   ANSWER:

Perhaps, much of this depends on the analysis and deliverables provided by the Business Analyst.

5. Do you need the new system to integrate with any other systems (i.e. financial system)?
   ANSWER:
   There will be likely integrations with some or all of the following: PeopleSoft Financials/HRIS, SiQuest, Concur, ImageNow, AssetWorks - Asset Inventory Management (AIM)

6. How many grants does UMS receive per year?
   ANSWER: The numbers listed directly below are examples of the number of grants for three of our campuses only. The expectation is the Business Analyst would work with the campuses to obtain the necessary information to complete the analysis and deliverables provided by the Business Analyst.

   University of Southern Maine: 200
   UMAINE: FY2016 – 326 awards; FY2017 – 353 awards
   University of Maine at Farmington: approximately 20-24 grants annually

7. Does UMS give out grants? If so, how many per year?
   ANSWER: Yes,
   The numbers listed directly below are examples of the number of grants for three of our campuses only. The expectation is the Business Analyst would work with the campuses to obtain the necessary information to complete the analysis and deliverables provided by the Business Analyst.

   University of Southern Maine: 175 subcontracts, 10 subawards
   UMAINE: 39 Subawards in FY17
   University of Maine at Farmington: approximately 1-2 subawards annually

8. What is the dollar amount of grants received per year?
   ANSWER:
   The numbers listed directly below are examples of the number of grants for three of our campuses only. The expectation is the Business Analyst would work with the campuses to obtain the necessary information to complete the analysis and deliverables provided by the Business Analyst.

   University of Southern Maine: 5-year average $25M
   UMAINE: Awards: FY2016 – $50,361,221; FY2017 – $56,926,782
   University of Maine at Farmington: $5,200,000 in awards in FY2017

9. What is the dollar amount of grants given out per year (if any)?
   ANSWER:

The numbers listed directly below are examples of the number of grants for two of our campuses only. The expectation is the Business Analyst would work with the campuses to obtain the necessary information to complete the analysis and deliverables provided by the Business Analyst.

University of Southern Maine: $2M
UMAINE: $5.6 mil

10. Do all 7 universities within the system have their own processes/procedures for the grant process? Are there any similarities?
ANSWER: Yes, few similarities

11. Can you provide examples of "work arounds" that are used currently (because of the lack of unified technology)?
ANSWER: In general each campus have developed a 'home grown' approach with possible different components, tools and procedures. Our expectation is that the Business Analyst will help identify the similarities, differences, needs and options for seeking a proposed solution.

The real issue isn't "workarounds" but rather the way the system (Access DBs, etc.) work. For example:
- Invoicing: Need to query data from Financials, combine account codes in Access, review for errors/omissions, add invoice numbers, and create pdf reports that serve as invoices. Other sponsor invoices are completely manual and require grant manager to review/map GL expenses to Sponsor categories on an invoice/financial report. Shadow spreadsheets are also used to maintain documentation that documents that mapping.
- Reporting: Need to gather info from multiple sources within and outside financials to provide basic reporting on grant activity (proposals/awards), expenditure, and complete NSF HERD Survey.
- Proposal Development and budget entry: Proposed budgets are entered into an excel spreadsheet. The budgets are uploaded, routed and approved through a home-grown on-line proposal routing system. If awarded, an account is created in in Peoplesoft Financials. The budget is hand entered into account. Our understanding is that all of these steps would occur in an enterprise-wide grants management solution.

12. How are funds and billing tracked currently? PeopleSoft?
ANSWER: Invoice/AR - Access Database, funds credited to Peoplesoft Financials

13. Can a majority of the implementation be provided remotely? Do you require any of the project to be done onsite (we are assuming some of the project will be done onsite, such as the needs assessment, training, etc.)?
ANSWER: Implementation is not part of this RFP and would be dependent on the solution we decide to solicit.

However, we do expect the Business Analyst be onsite to complete a percentage of the identified deliverables. When the Business Analyst is not onsite our expectation is that meetings will be held with a web conferencing solution.

14. Do you require the presentations to be conducted onsite? Or can these be delivered remotely?
    ANSWER: Presentations will be delivered remotely

15. Does the University of Maine System need to be named as Additional Insured on the Commercial General Liability insurance prior to bid submission? Or can UMS be added prior to commencing work?
    ANSWER: Commencing with contract signature.

4. **Replace Appendix H – Evaluation Question(s) – Organization, Qualifications and Experience with the following:**

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

Respondent's Organization Name: _____

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

Evaluation Question(s)

1. Provide a statement describing your company to include name, number of employees, locations, number of years in business, number of years offering/supporting the proposed solution, and any and all acquisitions or mergers in the last five years. Is the company publicly or privately held?

2. Please provide information about contract cancellations or non-renewals your company has experienced over the last three years.

3. Describe experience and qualifications related to grants management implementations. Include the software system or group of systems with which you have experience.

4. Describe your process and approach for business analysis and requirements gathering.

5. Describe your approach to the UMS needs assessment and design, and development of the options that will fulfill the project's business objectives.

6. Provide a proposed project timeline.

7. Provide a cost estimate.

8. Submit examples of past projects of similar size and scope.

9. List recent customers and contact information for whom you have provided similar services.

10. Describe how your company provides transparency and accountability if your company can also provide a grants management software that may be considered for consideration of the

above RFQ. The Consultant should provide examples of how it addresses the separation of its consulting (Business Analyst) and grants management software services.

11. 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.

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