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

External Audit Services
RFP # 2019-18

Issued Date: November 1, 2018

Response Deadline Date/Time: December 14, 2018 EOB

Response Submission Information:
Submitted electronically to rachel.piper@maine.edu
Email Subject Line – External Audit Services - RFP#2019-18

Response Contact Information:
Strategic Sourcing Director: Rachel Piper
Email: rachel.piper@maine.edu Phone: (207) 780-5633
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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 just under 30,000 students annually and is supported by the efforts of more than 2,000 full-time and part-time faculty, and more than 3,000 regular full-time and part-time staff.

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.
S&P Global Ratings last issued its ratings review of UMS in August 2018 with a long-term rating and underlying rating on the UMS’s various series of outstanding revenue bonds of “AA-” with a stable outlook.

**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 50th 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 105th by the National Science Foundation among American research universities, UMaine’s research faculty has an international reputation for excellence and the campus’ Fogler Library is the largest in the state. Located on more than 600 acres only a few miles from Bangor, one of Maine’s largest cities, the University of Maine is a major resource not only for education but economic and community development throughout the state as well.

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

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

1.1.3 Purpose

The University of Maine System is seeking proposals from qualified accounting firms to provide audit and related services. These services cover 7 financial reporting periods - for the year ended June 30, 2019 (FY19) through and including FY25. UMS seeks a firm with specific expertise in public higher education.

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.

This document is primarily for the University of Maine System as a single entity and will therefore include the financial information and related considerations of the 7 campuses of the UMS as well as consideration of component unit and other information for incorporation in the financial statements as applicable, with all the same terms and conditions applicable.

The Board of Trustees Audit Committee will interview selected firms and recommend a firm for appoint to the Board of Trustees for approval.

1.1.4 Specifications / Scope of Work

UMS requires annual audits of its financial statements as well as performance of its Single Audit. Prior years’ financial statements may be found at: http://www.maine.edu/about-the-system/system-office/finances/annual-financial-reports/ Single Audit reports may be found at: http://www.maine.edu/about-the-system/system-office/finances/a-133-audit-reports/

UMS expects the financial statement audit timing to be structured to allow completion of audit work and delivery of final results, including any audit comments, to management by mid-October. This timing will allow UMS to deliver the statements to the Board of Trustees (BOT) Audit Committee for review and to the BOT for approval by late October to meet the State of Maine’s November 1st reporting deadline. Audit reports required by OMB’s Uniform Guidance are to be completed as soon thereafter as possible, but by no later than early February.

UMS expects representatives of the selected firm to attend two of the Audit Committee meetings each year: one in late October for the presentation of the financial statements and related matters and one in the spring for presentation of the Uniform Guidance audit results and the firm’s engagement plan for the coming fiscal year. Other topics which UMS expects the firm to address at Committee meetings include: required communications, new accounting pronouncements and emerging issues. Meetings are typically held at the University of Maine campus in Orono but may be held elsewhere.

UMS expects the selected firm to provide information and advice on financial, tax, audit, risk management, and other matters as necessary from time to time. UMS management finds benefit in a firm’s offering of client seminars, sharing of professional publications and research materials, and maintenance of a relationship throughout the year to discuss issues of mutual interest and potential financial impact related to UMS and higher education in general.
1.1.5 Background

Relevant Financial Responsibilities within UMS

Our 7 universities have staff who are responsible for processing financial transactions, depositing funds, creating and monitoring budgets, and managing sponsored programs activity. Finance and accounting staff in the UMS Controller’s Office provide expertise to leadership and the campuses regarding various financial and accounting matters which includes, but is not limited to:

- Providing cash management, banking, and investment services.
- Providing operational support for transaction processing, fixed asset accounting, endowment accounting, and sponsored programs administration.
- Coordinating, preparing, and negotiating the federal fringe benefit rates and the facilities and administrative cost rates.
- Administering complex accounting transactions and maintaining integrity of the general ledger, which supports internal and external financial reporting.
- Developing administrative policy.
- Administering various tax reporting including:
  - 990-T Exempt Organization Business Income Tax Return
  - 1098-T Tuition Statement
  - 1042-S Foreign Person’s U.S. Source Income Subject to Withholding
- Preparing the annual financial statements in accordance with Generally Accepted Accounting Principles.
- Coordinating the financial statement audit and providing appropriate assistance to the campuses and auditors.
- Preparing the Schedule of Federal Awards and coordinating the annual audit as required by the Uniform Guidance.
- Preparing internal and external financial reporting.

Financial Statement Audit, Timeline, and Related Information

The Controller’s Office finance and accounting staff (staff) who work on the audit include four CPA’s and several specialized accountants.

An audit planning meeting and related communication between staff and the external auditors takes place in early spring. The external auditors provide a list of necessary items to staff in early spring, approximately 6 weeks prior to the start of on-site fieldwork. Some of the supporting documentation is located at the campus level and therefore requires time to gather. Staff typically record the majority of accruals by the end of August.

Full valuation actuarial reports are prepared every other year for UMS’ two defined benefit plans and an Other Post Employment Benefit Plan, with a roll forward being performed in the off year. UMS usually receives final actuarial reports by late August.

The Assistant Director of Accounting is the point person for the duration of the audit, collecting requested information or directing the auditors to others. Specialized accountants work on specific areas of the financial statements and prepare workpapers in Excel that support the reported balances and required notes. These referenced workpapers are then reviewed internally and rolled up to
summary sheets that tie to the financial statements. The Controller’s Office provides the external auditors with electronic copies of all relevant files. Staff prepare the Management Discussion and Analysis, the financial statements, notes, and required supplemental information. The auditors have typically proposed no audit adjustments.

FY18 is the first year that the UMS’ audit has been on a compressed timeline to comply with the previously mentioned November 1st deadline set by the State of Maine. Below is the audit timeline for FY18 and we anticipate that future timelines would be similar.

- **Early to mid-June** – interim audit testing
- **Early September** – auditors arrive on site, at the Controller’s Office in Orono, for field work utilizing a trial balance or preliminary financial statements
- **9/24** – UMS provides the auditors with a final draft (excluding discreetly presented component unit) of MD&A, financial statements, and notes which have been reviewed by the Director of Accounting and the Controller
- **10/1** – Component Unit provides draft financial statements to UMS & UMS includes the Component Unit information in its financials
- **10/12** – Component Unit provides final financial statements to UMS, the UMS finalizes its financials, and auditors provide draft opinion letters
- **Mail date for Audit and BOT meetings is 10 days prior to meetings**
- **Final week of October** – Audit Committee and BOT meetings are held to review and approve the UMS financial statements for issuance
- **11/1** – UMS submits final annual report to the State of Maine

**Uniform Guidance Audit**

In early May, the Controller’s Office typically provides the auditors with a summary of federal expenditures thru April 30th and a projection of such costs through June 30th.

An audit planning meeting between the auditors, Controller’s Office grants staff, campus financial aid staff, and campus sponsored programs staff takes place in late May/early June. After the planning meeting is held, the auditors typically work directly with the campuses to schedule field work and perform testing for the Uniform Guidance audit. The Controller’s Office provides the following information:

- Schedule of Expenditures of Federal Awards (SEFA),
- Letter of Credit (LOC) draw support,
- Listing of student financial aid recipients by award and by campus,
- FISAP information, and
- Support for automated monthly entries for benefits and facilities and administrative costs charged to the grants.

Testing for financial aid programs typically occurs in July. During the years that the Research and Development cluster is tested, fieldwork typically goes into August. The approach to testing financial aid has typically been to annually audit the two largest campuses (the University of Maine and the University of Southern Maine) and to audit the smaller campuses on a rotating basis.

The auditors review any potential audit findings with the campuses at the completion of fieldwork and finalize language as soon thereafter as possible. The
Controller’s Office staff then coordinates and finalizes management’s corrective action plans and works with the auditors to ensure timely submission of the reports with the Federal Audit Clearinghouse.

Summary of UMS Information Systems

(a) UMS utilizes various modules of Oracle’s PeopleSoft Enterprise Resource Planning (ERP) system including:

2. Financials (General Ledger, Purchasing and Accounts Payable, Position Management, and Travel & Expense)
3. Student Administration:
   - Campus Community (bio-demographic data) and Admissions & Recruitment
   - Student Records and Student Financials
   - Financial Aid
4. Enterprise Portal used primarily to authenticate and launch all PeopleSoft applications

(b) The UMS also utilizes several non PeopleSoft software systems that either feed data directly to the General Ledger system or via the related PeopleSoft module.

1. Advance – is the UMS’ alumni relations and fundraising software. This system interfaces directly with the general ledger system.
2. AiM - is the UMS’ integrated workplace management software. Workorder information is fed directly from AiM to the general ledger system. AiM also contains information on the UMS’ buildings and space, and certain inventories. During FY18, the UMS used this system for the first time to calculate depreciation of its fixed assets.
3. Concur – is used to request travel and report travel related costs and employee expense reimbursements. Transactions from the UMS travel card program flow through Concur. Transactions from Concur are fed through the PeopleSoft travel and expense module for eventual posting to the general ledger system.
4. Jaggaer (formerly SciQuest) - is where UMS’ procurement transactions originate. The data flows from this system to the PeopleSoft purchasing and accounts payable modules and eventually to the general ledger.
5. Pcard system – is a 3rd party system with a national bank.

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, 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.

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 shall be identified in Appendix C. Should additional major programs be identified that require auditing under Uniform Guidance, please also identify the cost for such work.

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

1.3.1 Timeline of Key Events

<table>
<thead>
<tr>
<th>Reference Section</th>
<th>Event Name</th>
<th>Event Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section 1.2.2</td>
<td>Deadline for Written Inquiries/Questions</td>
<td>November 14, 2018</td>
</tr>
<tr>
<td>Section 1.2.2</td>
<td>Response to Written Inquiries/Questions</td>
<td>November 30, 2018</td>
</tr>
<tr>
<td>Section 1.2.2</td>
<td>Deadline for Proposal Submission</td>
<td>December 14, 2019</td>
</tr>
<tr>
<td>Section 1.3.8</td>
<td>Estimated Respondent Presentation Date (subject to change) to the Board of Trustees (BOT) Audit Committee</td>
<td>Mid to Late January 2019</td>
</tr>
<tr>
<td>Section 2.2</td>
<td>Award Announcement (subject to change)</td>
<td>January 28, 2019</td>
</tr>
<tr>
<td></td>
<td>Estimated Agreement Start Date (subject to change)</td>
<td>February 28, 2019</td>
</tr>
</tbody>
</table>

1.3.2 Eligibility to Submit Responses

The University is seeking proposals from qualified public accounting firms to perform its annual financial statement audit, Single Audit and related services. Firms with specific audit expertise in public higher education who meet the following criteria are invited to submit a response to this document.

- The certified public accounting firm holds a valid practice permit.

- The audit organization and the individuals responsible for planning, directing, conducting substantial portions of the fieldwork, or reporting on government audits meets the continuing educational requirements of the Government Auditing Standards issued by the Comptroller General of the United States and, if selected, will continue to do so during the term of the contract with UMS.

- The audit organization has an appropriate internal quality control system in place and participates in an external quality control review program as required by Government Auditing Standards and, if selected, will continue to do so during the term of the contract with UMS.

- The audit organization complies with the auditor independence requirements under Government Auditing Standards and, if selected, will continue to do so during the term of the contract with UMS.

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. Selected Respondents will present to the UMS Audit Committee of the Board of Trustees. The Audit Committee will forward its recommendation to the Board of Trustees for review and approval.

1.3.8 Response Submission
A SIGNED virus-free electronic copy must be submitted as follows:
- The response must be received electronically to the E-Mail shown in the Response Submission Information section of the cover page of this document.
- Electronic submission must be received by the required Response Deadline Date/Time reflected on the cover page of this document.
- Response submissions that exceed 20 MB will be submitted with multiple emails modifying email subject line shown in the Response Submission Information section of the cover page of this document to include: Submission 1 of X (‘X’ representing the number of files being submitted).
2.0 EVALUATION AND AWARD PROCESS

2.1 Evaluation Criteria

2.1.1 Scoring Weights

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

<table>
<thead>
<tr>
<th>Evaluation Appendices</th>
<th>Category</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appendix C</td>
<td>Cost Evaluation</td>
<td>50</td>
</tr>
<tr>
<td>Appendix D</td>
<td>Contract for Services</td>
<td>10</td>
</tr>
<tr>
<td>Appendix E &amp; F</td>
<td>Organization, Qualifications, Experience, Depth of Resources, and References</td>
<td>40</td>
</tr>
<tr>
<td>Appendix G</td>
<td>Information Security  PASS/FAIL</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td><strong>Total Points</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

2.1.2 Scoring Section Descriptions

2.1.2.1 Cost Evaluation (Use spreadsheet at Appendix C)

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:

\[(\text{Lowest submitted cost response} / \text{cost of response being scored}) \times \text{Points} = \text{pro-rated score}\]

The University may consider the time value of money if fees are significantly variable by year.

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 Contract for Services (Appendix D)

The evaluation team will use a consensus approach to evaluate and assign evaluation based on pass/fail decision based on University risk assessment. The University reserves the right to reject any or all responses, in whole or in part, for any response receiving no points in this section in accordance with Section 2.2 Award.

Responses will be evaluated using the following guidelines:
a. Full acceptance of the terms and conditions with the Respondents signature on the Agreement signature page, will receive the total points noted in Table 2.1.1.
b. Revisions to the Agreement provisions specified in Section 1.2.1.2 will receive point reductions based on the University’s risk assessment.
c. Revisions to the Agreement provisions other than those specified in Section 1.2.1.2 will be evaluated at the University’s discretion based on the University’s risk assessment.

2.1.2.3 Organization, Qualifications, Experience and References (E & F)
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.

2.1.2.4 Information Security (G)
The University’s Chief Information Security Officer and evaluation team, in their sole discretion, will evaluate responses on a pass/fail basis.

2.2 Award

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 responses, in whole or in part, and is not necessarily bound to accept the lowest cost response if that response 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. Further information regarding the appeal process can be found at:


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
   3.2.1.3 Insert Appendix B – Debarment, Performance and Non-Collusion Certification

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 - Contract for Services
   3.2.3.1 Label this response - Section 3 – Contract for Services
   3.2.3.2 Insert Appendix D – Contract for Services

3.2.4 Section 4 - Response to Questions
   3.2.4.1 Label this response - Section 4 – Response to Evaluation Questions & Related Information
   3.2.4.2 Insert Appendix E – Organization Reference Form
   3.2.4.3 Insert Appendix F – Evaluation Question(s) - Organization, Qualifications, Experience, and Depth of Resources
   3.2.4.4 Insert Appendix G – Information Security
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.
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 # 2019-18
External Audit Services

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

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

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

Date: ________________________________

Name and Title (Printed) ___________________ Authorized Signature __________________________
Appendix C – Required Cost Evaluation Exhibits

University of Maine System
COST EVALUATION
RFP # 2019-18
External Audit Services

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.

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.

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 for the applicable fiscal year’s audits for performing the services necessary to accomplish the objectives of this document. For the selected firm, the UMS requests that the contract include, for billing and budget purposes, an identification of the anticipated allocation of effort to the respective fiscal years. For example, the audit charges for each fiscal year may be incurred at a rate of 15% prior to the end of the fiscal year under audit with 85% of the charges being incurred in the next fiscal year.

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. Additional templates may be requested by contacting the contact listed on page one of the RFP.
### Appendix C – Required Cost Evaluation Exhibits - Continued

#### Annual Financial Report

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*Major Programs:

See “Major Programs History” tab on this workbook for Uniform Guidance major program history (FY12-17) which typically includes audits of 2 major programs each year but has and may include more. Assume that the Research & Development cluster will be one of the major programs every third year and will be audited in FY20 and FY23.

#### Additional Related Audit and Non-audit Services

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Provisional hourly rates: If UMS were to engage additional services beyond the annual audit, UMS reserves the right to request a fixed price or to go out to bid for such services.

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University of Maine System RFP  
Rev. 07/01/2017  
Page 25 of 47
**University of Maine System**

**Summary of Uniform Guidance/A133 Major Programs**

For more details see reports at: [http://www.maine.edu/about-the-system/system-office/finances/a-133-audit-reports/](http://www.maine.edu/about-the-system/system-office/finances/a-133-audit-reports/)

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**Findings Related to:**

| SFA | DOE | None | R&D | None | None |

**Dollar threshold - Type A & Type B programs:**

| $2,065,962 | $2,166,344 | $2,279,698 | $2,490,819 | $2,520,627 | $3,000,000 |

**University of Maine System qualified as low-risk**

| x | x | x | x | x | x |
Appendix D – 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 – Transition
Rider F – Contractor’s Service Level Agreement to Support the University

Contract Amendments as required

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.

<<Following paragraph under #1 will be used only when a MLA is the desired result, otherwise the language should be removed.>>
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 April 1, 2019 and shall terminate on March 31, 2025, unless terminated earlier as provided in this Contract.

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.

   **<< Select or remove items B – E depending on Agreement requirements. >>**

   B. The total of all payments made against this contract shall not exceed $_______. Any expenses not listed here will not be reimbursed.

   C. Reimbursement for expenses:
      
      All travel, lodging and meals are part of the compensation described in section A. No additional reimbursement will be made for these or other expenses.

   D. “Additional Services” The University will have the option to purchase additional services under this Agreement.

   **<<Following paragraph under #1 will be used only when a MLA is the desired result, otherwise the language should be removed. >>**

      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:** Tracy Elliott, Vice President of Finance and Administration, shall be the University’s authorized representative in all matters pertaining to the administration of the terms and conditions of this Contract.

12. **NonDiscrimination:** 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, furnishing 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
To Contractor:

<<BID INSTRUCTIONS – Bidder to supply information noted below for submission with their proposal. >>
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
Fax: 207-581-2698
Email: 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 – Transition
I. Rider F – Contractor’s Service Level Agreement to Support the University
J. Contract Amendments as required
K. Request for <<insert Bid or Proposal>> #<<insert #>> Issue Date <<insert date>> Titled <<insert title>>
L. Contractor’s Bid in Response to Request for <<insert Bid or Proposal>> #<<insert #>> Proposal Submission Date <<insert date>> Titled <<insert title>>

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

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

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

BY: ________________________________  BY: ______________________________

Title: ______________________________

Chief Procurement 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

<<ENTER INTENT AND PURPOSE DESCRIPTION>>

PRODUCT SCOPE OF WORK:

<< BID INSTRUCTIONS - Bidder to provide product/service scope of work description as part of their proposal/bid submission. >>

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.

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.
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 submission. >>
RIDER B-1
INSURANCE REQUIREMENTS

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

<table>
<thead>
<tr>
<th></th>
<th>Insurance Type</th>
<th>Coverage Limit</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Commercial General Liability, including Product's and Completed Operations</td>
<td>$1,000,000 per occurrence or more</td>
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<tr>
<td></td>
<td>(Written on an Occurrence-based form)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(Bodily Injury and Property Damage)</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Vehicle Liability</td>
<td>$1,000,000 per occurrence or more</td>
</tr>
<tr>
<td></td>
<td>(Including Hired &amp; Non-Owned)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(Bodily Injury and Property Damage)</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Workers Compensation</td>
<td>Required for all personnel</td>
</tr>
<tr>
<td></td>
<td>(In Compliance with Maine and Federal Law)</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Professional Liability Insurance</td>
<td>$1,000,000 per occurrence or more</td>
</tr>
<tr>
<td></td>
<td>(Agents, Consultants, Brokers, Lawyers, Financial, Engineers,</td>
<td></td>
</tr>
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<td></td>
<td>or Medical Services)</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Marine General Liability</td>
<td>$1,000,000 per occurrence or more</td>
</tr>
<tr>
<td></td>
<td>(Any maritime or marine services)</td>
<td></td>
</tr>
</tbody>
</table>

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

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

- Government Entity

- Estate or Trust

- All other Entities

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: _______________
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: ______________________________

Institution 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: _____________________________
Appendix E – 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).

<table>
<thead>
<tr>
<th>REFERENCE #1</th>
<th>Institution/Company Name</th>
<th>Contact Name</th>
<th>Contact Title</th>
<th>Contact Phone Number</th>
<th>Contact eMail Address</th>
<th>Relationship Length</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>REFERENCE #2</th>
<th>Institution/Company Name</th>
<th>Contact Name</th>
<th>Contact Title</th>
<th>Contact Phone Number</th>
<th>Contact eMail Address</th>
<th>Relationship Length</th>
</tr>
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Appendix F – 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.

**General 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. If subcontractors are to be used, provide a list that specifies the name, address, phone number, contact person, and a brief description of the subcontractors’ organizational capacity and qualifications.

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

4. Describe your experience with the audit requirements identified in this document within higher education. Provide a client list that includes any and all higher education clients.

5. Provide a statement that explains why your company would be most qualified to provide audit services to the University of Maine System. What differentiates you from your competitors? In the response the Respondent must demonstrate that they are a recognized leader in the services covered in this document.

6. Describe your firm’s understanding of the current higher education needs for providing the services described in **Specifications / Scope of Work** detailed in this document. Include in your response what challenges higher education organizations face in this area and how would your firm support our goals?

7. The Respondent shall provide résumés for each staff member responsible for performing the services identified in the requirements of this document. Résumés shall include education, experience, license, and/or certifications of each individual.

8. Financial Stability

   No financial statements are required to be submitted with your responses; however, prior to an award the University requires audited financial statements or other approved financial documents that demonstrates financial stability.

9. Describe your recommended transition strategy.

10. Indicate your timeline from transition to interim fieldwork. Provide task lists and timelines for a standard transition.

11. Outline the staffing and composition of the transition team. Include proposed hours required for successful transition.
Qualifications Questions

1. A statement describing the extent of your firm’s total business and strengths with providing audit services to public higher education clients. Include information about the firm’s background, client base, depth of staff and expertise.
   a. Specifically address student financial aid and grants/contracts work, as well as experience with public research universities.
   b. Specifically address the firm’s expertise with auditing organizations whose financial statements follow GASB accounting principles.

2. Describe the firm’s expertise related to tax issues regarding section 501(c)(3) organizations including unrelated trade or business income, revenue bond private activity requirements, and benefits and compensation programs.

3. Provide examples of your firm’s leadership in accounting and higher education organizations, for example, through involvement with organizations like the AICPA, NACUBO, COGR, AGB, and others. Mention significant industry research your firm has conducted or contributed to.

4. Describe the access UMS representatives would have to your firm’s industry expertise including research or benchmarking studies.

5. Provide a list of public universities similar in size and structure to UMS where your firm has conducted financial statement and Single Audit services in the last three years.

6. Provide three references, preferably from institutions that are similar in size and structure to UMS.

7. Provide a copy of the firm’s most recent external quality review report.

Engagement Staffing Questions

8. Provide an overview and resumes of the staff your firm has identified as the engagement partner, reviewing partner, engagement senior manager, manager(s), and seniors, as applicable for the UMS audit. Highlight their relevant experiences and skills that make them well suited for this engagement and the office location where they are currently based. Specifically address Uniform Guidance experience and training, as well as public university experience and training of the proposed team members.

9. Provide an organization chart showing supervisory relationships within the audit team including proposed staffing for (a) the financial statement audit (b) the Single audit, (d) tax matters, and (e) information technology matters.

10. Describe the firm’s policy on partner and manager rotation.

11. What are the firm’s policies on staff education in relation to developing competence in higher education and governmental audits? Describe any staff training programs currently used for this purpose.

Audit Approach Questions

12. Describe your firm’s audit planning process.

13. Describe your firm’s approach to assessing internal control risk at the System and University level.

14. Describe your standard audit approach to the review of IT systems and security.

15. Explain how you use data/analytics in the audit.

16. Describe how your firm minimizes the impact on University staff during a transition to a new audit firm.

17. Describe your approach to interim work to ease the burden of year-end fieldwork.

18. Describe how you will work with our audit timeline and the State’s mandated November 1 reporting deadline so that we meet reporting requirements.
Other Questions

19. Describe any special services, seminars, or publications that your firm provides to Audit Committees and Boards, senior management, and accounting staff.
20. Describe any special services such as risk assessment methodologies, enterprise risk management models, and benchmark studies that would be available to UMS.
21. The University requests access to your firm's accounting research software. Specify the name of your software and confirm that you will provide access to this software.
22. Describe publications your firm issues on a regular basis that would be of interest to our institution. Provide access to samples as part of your response.
23. Describe briefly training courses, computer software, internal control checklists, or other forms of assistance that could be made available, and related costs.
24. If there are other important issues, information, or services that your firm would like to identify, please reference them in the proposal.
Appendix G – Evaluation Question(s) – Information Security

Respondent’s Organization Name: ________________________________________________

Evaluation Question(s) – Information Security

1. Describe how University data that is in your possession will be protected from:
   a. unauthorized access
   b. unauthorized disclosure
2. Do you encrypt data-at-rest including data on fixed and removable media?
   a. List the type of encryption and key strength used.
3. Do you allow employees to remotely access data (i.e. work from home)?
   a. Define controls in place to secure employees’ remote environment.
   b. Define controls in place protecting the connection to the institution’s data.
4. Describe methods proposed to transfer data between the University and your organization.
   a. List the type of encryption and key strength used.
5. Provide your organizations information security policies.
6. Provide your organizations privacy policies.
7. Provide additional practices your organization implements to ensure employees safeguard data.
   a. How often is information security/protection training required?
   b. Are employee background checks required?
   c. Are employees required to agree to a confidentiality agreement?
8. Describe your practices with respect to University data ownership and confidentiality.
   a. How long does your organizations retain the Universities data?
   b. How does your organization dispose of the Universities data?
9. Have you been assessed by external parties with respect to your information security and
    privacy, to include peer reviews?
   a. How often are these assessments conducted?
   b. Describe the process and outcomes.
   c. Include your most recent assessment documentation as part of your submission.
10. List all third-party technology partners (e.g. hosting providers or cloud services, etc.) you will use
    to store or share any University data.
    a. Provide your assessment of security protections provided by partners.
    b. Include any evidence that they have been audited, accredited, or reviewed by an
        independent auditor.
    c. Does the hosting provider have a SOC 2 Type 2 report available?
11. 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 this
    agreement.