



**Solicitation Information
July 25, 2016**

RFP# 7550815

TITLE: Grants Management System

SUBMISSION DEADLINE: August 23, 2016 at 11:00 AM ET

PRE-BID/ PROPOSAL CONFERENCE: No

Questions concerning this solicitation must be received by the Division of Purchases at DOA.PurQuestions8@purchasing.ri.gov no later than **August 4, 2016 at 11:00 AM ET**. Questions should be submitted in a *Microsoft Word attachment*. Please reference the **RFP# 7550815** on all correspondence. Questions received, if any, will be posted on the Internet as an addendum to this solicitation. It is the responsibility of all interested parties to download this information.

SURETY REQUIRED: No

BID BOND REQUIRED: No

Meredith Skelly
Interdepartmental Project Manager

Applicants must register on-line at the State Purchasing Website at www.purchasing.ri.gov

Note to Applicants:

Offers received without the entire completed three-page RIVIP Generated Bidder Certification Form attached may result in disqualification.

THIS PAGE IS NOT A BIDDER CERTIFICATION FORM

Table of Contents

SECTION 1. INTRODUCTION..... 3
SECTION 2. BACKGROUND 5
SECTION 3: SCOPE OF WORK..... 6
SECTION 4: TECHNICAL PROPOSAL 8
SECTION 5: COST PROPOSAL 10
SECTION 6: EVALUATION AND SELECTION 11
SECTION 7. PROPOSAL SUBMISSION..... 12
SECTION 8. RESPONSE CONTENTS 13
SECTION 9. CONCLUDING STATEMENTS 14

SECTION 1. INTRODUCTION

The Rhode Island Department of Administration/Division of Purchases, on behalf of the Office of Management and Budget (OMB), is soliciting proposals from qualified firms to provide a cloud-based technology solution (COTS, SaaS) to automate the grants management business processes across state agencies, including implementation of an end-to-end grants management system, in accordance with the terms of this Request for Proposals (RFP) and the State's General Conditions of Purchase, which may be obtained at the Rhode Island Division of Purchases Home Page by Internet at www.purchasing.ri.gov.

The initial contract period will begin approximately November 1, 2016 for (1) one year. Contracts may be renewed for up to (4) four additional 12-month periods based on vendor performance and the availability of funds.

This is a Request for Proposals, not an Invitation for Bid. Responses will be evaluated on the basis of the relative merits of the proposal, in addition to price; there will be no public opening and reading of responses received by the Division of Purchases pursuant to this RFP, other than to name those offerors who have submitted proposals.

Instructions and Notifications to Offerors

1. Potential vendors are advised to review all sections of this RFP carefully and to follow instructions completely, as failure to make a complete submission as described elsewhere herein may result in rejection of the proposal.
2. Alternative approaches and/or methodologies to accomplish the desired or intended results of this procurement are solicited. However, proposals which depart from or materially alter the terms, requirements, or scope of work defined by this RFP will be rejected as being non-responsive.
3. All costs associated with developing or submitting a proposal in response to this RFP, or to provide oral or written clarification of its content shall be borne by the vendor. The State assumes no responsibility for these costs.
4. Proposals are considered to be irrevocable for a period of not less than 90 days following the opening date, and may not be withdrawn, except with the express written permission of the State Purchasing Agent. The State can opt to extend this term at its discretion.
5. All pricing submitted will be considered to be firm and fixed unless otherwise indicated herein.
6. Proposals misdirected to other state locations, or which are otherwise not present in the Division at the time of opening for any cause will be determined

to be late and will not be considered. For the purposes of this requirement, the official time and date shall be that of the time clock in the reception area of the Division.

7. It is intended that an award pursuant to this RFP will be made to a prime vendor, or prime vendors in the various categories, who will assume responsibility for all aspects of the work. Joint venture and cooperative proposals will not be considered. Subcontracts are permitted, provided that their use is clearly indicated in the vendor's proposal and the subcontractor(s) to be used is identified in the proposal.
8. All proposals should include the vendor's FEIN or Social Security number as evidenced by a W9, downloadable from the Division's website at www.purchasing.ri.gov.
9. The purchase of services under an award made pursuant to this RFP will be contingent on the availability of funds.
10. Vendors are advised that all materials submitted to the State for consideration in response to this RFP will be considered to be Public Records as defined in Title 38, Chapter 2 of the General Laws of Rhode Island, without exception, and will be released for inspection immediately upon request once an award has been made.

Any information submitted to the State through this RFP that a vendor believes is trade secrets or commercial or financial information which is of a privileged or confidential nature should be clearly marked as such. The vendor should provide a brief explanation as to why each portion of information that is marked should be withheld from public disclosure. Vendors are advised that the State may release records marked confidential by a vendor upon a public records request if the State determines the marked information does not fall within the category of trade secrets or commercial or financial information which is of a privileged or confidential nature.

11. Interested parties are instructed to peruse the Division of Purchases website on a regular basis, as additional information relating to this solicitation may be released in the form of an addendum to this RFP.
12. Equal Employment Opportunity (G.L. 1956 § 28-5.1-1, et seq.) – § 28-5.1-1 Declaration of policy – (a) Equal opportunity and affirmative action toward its achievement is the policy of all units of Rhode Island state government, including all public and quasi-public agencies, commissions, boards and authorities, and in the classified, unclassified, and non-classified services of state employment. This policy applies to all areas where State dollars are spent, in employment, public services, grants and financial assistance, and in state licensing and regulation. For further information, contact the Rhode

Island Equal Employment Opportunity Office, at 222-3090 or via e-mail at Raymond.Lambert@doa.ri.gov.

13. In accordance with Title 7, Chapter 1.2 of the General Laws of Rhode Island, no foreign corporation, a corporation without a Rhode Island business address, shall have the right to transact business in the State until it shall have procured a Certificate of Authority to do so from the Rhode Island Secretary of State (401-222-3040). This is a requirement only of the successful vendor(s).
14. The vendor should be aware of the State's Minority Business Enterprise (MBE) requirements, which address the State's goal of ten percent (10%) participation by MBE's in all State procurements. For further information visit the website www.mbe.ri.gov
15. Under HIPAA, a "business associate" is a person or entity, other than a member of the workforce of a HIPAA covered entity, who performs functions or activities on behalf of, or provides certain services to, a HIPAA covered entity that involves access by the business associate to HIPAA protected health information. A "business associate" also is a subcontractor that creates, receives, maintains, or transmits HIPAA protected health information on behalf of another business associate. The HIPAA rules generally require that HIPAA covered entities and business associates enter into contracts with their business associates to ensure that the business associates will appropriately safeguard HIPAA protected health information. Therefore, if a Contractor qualifies as a business associate, it will be required to sign a HIPAA business associate agreement

SECTION 2. BACKGROUND

In state fiscal year 2015, the State of Rhode Island managed 1,839 direct federal awards, with over \$2.9 billion in federal funds expenditures. Agencies, in turn, distributed \$152.8 million of this funding as sub-awards to hundreds of community-based organizations.

Thirty-two state agencies manage the federal funds, which include grants, loans, cooperative agreements, non-cash assistance, contracts, and other financial assistance. Only four of the thirty-two agencies, use an automated grants management system - the Department of Transportation, the Department of Elementary and Secondary Education, the Council on the Arts, and the University of Rhode Island (URI). The remaining agencies use a myriad of systems and spreadsheets to track who gets the money, where it is being spent, and what is being achieved. Although data can be compiled on an award-by-award basis, the information is not readily available on a statewide or agency-wide basis making oversight, strategic planning, and cross-agency coordination challenging.

The Grant Management System will build the capacity and ability of the state and its agencies to meet two main goals:

1. Increase the efficiency in managing programmatic and financial aspects of grants through the life cycle

2. Provide statewide information on grants to support planning, analysis, and decision-making at all levels of government.

The business objectives of Rhode Island's grants management business process are to:

- Leverage and enhance federal and private funding opportunities to support program objectives (e.g. target high-value projects, leverage match funds, and increase administrative efficiency);
- Improve customer access to state grant and loan opportunities and improve customer service into the entire sub-award management process from beginning to end;
- Demonstrate accountability for grant and loan funds;
- Comply with state and grantor laws and rules and resolve repetitive audit findings related to grant oversight and monitoring;
- Monitor, measure, and report on the effectiveness of awarded projects to achieve expected results through the life of the project, and beyond when required by the grantor;
- Achieve the highest possible return on funds, as quantified in terms of benefit to the public; and
- Make grant and loan program information accessible to stakeholders.

SECTION 3: SCOPE OF WORK

The Grants Management System should meet the minimum requirements outlined below. Mandatory completion of **Exhibit A – Detailed Business and Technical Requirements** and **Exhibit B – Detailed Business Scenario Narrative Worksheet** is required to assess the overall capabilities of the solution.

General Required Functionality:

1. Cloud-based, SaaS
2. User-friendly, intuitive interface with embedded help features
3. Access through any major web browser
4. Robust search capabilities throughout the system
5. Document management capability supporting file uploads/attachments
6. Integration with financial and time reporting systems
7. Workflow supporting multiple levels of routing and approvals depending on the grant
8. Configurable dashboard views of messages, actions required, and other information
9. Mobile enabled (iOS, Android)
10. Automated email reminders and workflow notifications
11. Support for email, letter, and form templates
12. User-friendly reporting tool to create ad hoc reports
13. Configurable interface without the need for code changes
14. Robust security model to support role-based interfaces, field-level permissions, and administration functions
15. Supports electronic signatures and approvals
16. Allows custom fields with custom drop down values

17. Provides online and phone vendor support
18. Provides in person and online training
19. Provides online documentation
20. Supports multiple agencies on a single instance with the ability to configure each agency (e.g. logos, colors, etc.)

State of Rhode Island as a Grantee (grantseeker):

21. Provide planning functionality to align programs with strategic objectives
22. List funding opportunities from various sources with search capability
23. Ability to prepare applications online in different formats with file attachments
24. Flexible workflow configuration for various levels of routing for application review and approval
25. Track funding opportunities in pursuit, status of applications submitted, and funded amounts
26. Ability to link grants throughout the entire lifecycle
27. Ability for a grant to fund multiple programs and for programs to be funded by multiple grants
28. Produce performance and financial reports
29. Ability to produce Federal reports
30. Manage vendor contracts
31. Initiate and track draw downs and other request for reimbursement
32. Checklist functionality for various activities including close out

State of Rhode Island as a Grantor (grantmaker):

33. Registration process for applicants with multiple users and contacts
34. Flexible form development for creating program-specific applications and progress reports
35. List funding opportunities across state agencies with search capability
36. Apply online with the ability to attach files and save drafts
37. Ability to provide budget or other templates for completion with the application
38. Online review process with different scoring schemas
39. Ability for applicant to track applications online
40. Ability to correspond with applicants/subrecipients
41. Notifications for awards and rejections
42. Ability to view subrecipients information across state agencies including risk assessments and monitoring activities
43. Ability for subrecipient to enter progress reporting and payment requests online
44. Workflow approval process for progress reporting and payment requests

SECTION 4: TECHNICAL PROPOSAL

Narrative and format: The separate technical proposal should address specifically each of the required elements:

1. **Staff Qualifications** – Provide staff resumes/CV and describe qualifications and experience of key staff who will be involved in this project, including their experience with implementing grants management systems and business processes.
2. **Capability, Capacity, and Qualifications of the Offeror** –
 - a. Please provide a detailed description of the Vendor’s experience as a grants management solution provider.
 - b. A minimum of three (3) client references for relevant solutions implemented within the last 24 months must be provided, to include client names, addresses, phone numbers, dates of service and type(s) of service(s) provided.
 - c. Also include the following information:

| Description | Number of: |
|--|------------|
| All installations of the proposed solution | |
| New clients added in 2015 | |
| Existing clients lost in 2015 | |
| New clients added in 2016 | |
| Existing clients lost in 2016 | |
| Federal government installations | |
| State/local installations | |
| New federal or state/local installations in 2015 | |
| Existing federal or state/local clients lost in 2015 | |

- d. Insurance - The awarded vendor shall be required to have insurance coverage throughout the contract lifecycle that may consist of the following however not limited to:
 - *Liability* - \$1 Million bodily injury each occurrence, \$1 Million annual aggregate
 - *Property* - \$500,000 each occurrence, \$500,000 annual aggregate
 - *Worker’s Compensation* - \$100,000 coverage B
 - *Professional Liability/Technology Errors and Omissions* - \$1 Million per occurrence, \$1 Million annual aggregate or 5% of estimated cost per occurrence, 5% of estimated cost annual aggregate, whichever is greater

- *Automotive Liability* - \$1 Million each occurrence combined single limit
- *Network Security and Privacy Liability* (i.e., breach coverage) –
 - ≤ 10,000 records: \$2 Million per occurrence, \$2 Million annual aggregate
 - > 10,000 records: \$3 Million per occurrence, \$3 Million annual aggregate
- If grant funds are determined to be transferred through the software solution then Crime Insurance will be required as well.

Refined insurance requirements will be determined upon selection of the appropriate software solution and the related project scope. Proof of insurance (e.g., insurance certificate) will be required of the awarded vendor before a Purchase Order is issued and permission to start work is authorized. If the project scope changes over the life of the contract with the awarded vendor (e.g., number of records increase which will affect the Network Security and Privacy Liability coverage level), updated proof of insurance from the vendor will be required. **Please describe your ability to meet this requirement.**

3. **Work Plan** - Please describe in detail, the framework within which requested services will be performed. The following elements must be included:
 - a. Describe the bidder’s understanding of the requirements of the State of Rhode Island pursuant to the solicitation, including the intended results,
 - b. Address each of the components described under Scope of Work, as well as any technical issues that will or may arise in performing the requested services,
 - c. Include a specific plan detailing the manner in which the bidder will develop, provide, and monitor the requested services.
 - d. Include Evidence of Business Continuity Plan which should demonstrate the vendor’s ability to resurrect our critical processes in the event of a natural and or manmade disaster that affects the vendor’s ability to operate their normal systems.

4. **Complete Exhibit A – Detailed Business and Technical Requirements Matrix** – Completion of Exhibit A, available as a spreadsheet labeled Exhibit A and attached to this solicitation, is a mandatory component of the technical proposal. Detailed instructions are listed on the tab labeled ‘Instructions’ within the spreadsheet.

5. **Complete Exhibit B – Detailed Business Scenario Narrative** – Completion of the Detailed Business narrative worksheet, available as a document template labeled Exhibit B and attached to this solicitation, is a mandatory component of the technical proposal. Detailed instructions are listed at the beginning of the document.

6. **Demonstration/Interview** – After the initial evaluation, vendors meeting the minimum number of points on the Technical Proposal will be qualified to participate in the Demonstration/Interview stage. Vendors will have the opportunity to demonstrate their software solution based on specific scenarios and respond to questions about the solution and the vendors’ capabilities. The Demonstration/Interview will be evaluated based on the following:
- a. Vendor’s on-site, hands-on software presentation
 - b. Vendor’s client references and demonstrated record of successful implementations
 - c. Complete integrated, cloud-based, SaaS solution
 - d. Vendor’s ability to demonstrate configuration and functionality in the solution as requested

Successful vendor(s) will receive written notice if they have been qualified for a Demonstration/Interview and be provided with presentation information. Please note: Only qualified vendors will participate in the Demonstration/Interview. The State reserves the right to request detailed responses to follow-up questions identified during the Demonstration/Interview. The State may perform additional due diligence and visit the sites of selected client references to gain a better understanding of how their software solutions operate.

SECTION 5: COST PROPOSAL

Detailed Budget and Budget Narrative:

Provide a detailed cost proposal for fees to be charged for the services specified in this solicitation. Include a budget and an explanation of the basis and rationale of the proposed fee structure.

The budget must enumerate all licensing, maintenance, and other costs required to maintain and operate the solution. The cost proposal should assume an initial contract period of (1) one year and (4) four additional 12 month renewals.

Alternative fee schedule proposals will be considered. Explain the benefits of any alternative approach.

In addition to your own cost proposal, you must complete a **Uniform Cost Schedule**, available as a spreadsheet labeled **Exhibit C** and attached to this solicitation.

Exhibit D - Active Federal Awards by Agency has been provided for Vendor reference as it has the number of active federal awards throughout various State agencies with the cumulative spend status as of 06/30/2016 at each agency.

SECTION 6: EVALUATION AND SELECTION

Proposals will be reviewed by a Technical Review Committee comprised of staff from State agencies. To advance to the Demonstration/Interview stage, the Technical Proposal must receive a minimum of 50 (71.4%) out of a maximum of 70 technical points. To advance to the Cost Evaluation stage, the Technical Proposal including the Demonstration/Interview must receive a minimum of 58 (82.8%) out of a maximum of 70 technical points.

Any technical proposals scoring less than 58 points including the Demonstration/Interview will not have the cost component opened and evaluated and the proposal will be dropped from further consideration.

Proposals scoring 58 technical points or higher will be evaluated for cost and assigned up to a maximum of 30 points in the cost category, bringing the potential maximum score to 100 points.

The Office of Management and Budget reserves the exclusive right to select the individual(s) or firm (vendor) that it deems to be in its best interest to accomplish the project as specified herein; and conversely, reserves the right not to fund any proposal(s).

Proposals will be reviewed and scored based upon the following criteria:

| Criteria | Possible Points |
|--|-------------------|
| Staff Qualifications | 5 Points |
| Capability, Capacity, and Qualifications of the Offeror | 10 Points |
| Work Plan | 10 Points |
| Suitability of the Solution (includes Exhibits A and B) | 30 Points |
| Demonstration/Interview | 15 Points |
| Total Possible Technical Points | 70 Points |
| Cost calculated as lowest responsive cost proposal divided by (this cost proposal) times 30 points * | 30 Points |
| Total Possible Points | 100 Points |

*The Low Vendor will receive one hundred percent (100%) of the available points for cost. All other Vendors will be awarded cost points based upon the following formula:

(low bid / vendors bid) * available points

For example: If the low Vendor (Vendor A) bids \$65,000 and Vendor B bids \$100,000 for monthly cost and service fee and the total points available are Thirty (30), vendor B's cost points are calculated as follows:

$$\$65,000 / \$100,000 * 30 = 19.5$$

Points will be assigned based on the offeror's clear demonstration of his/her abilities to complete the work, apply appropriate methods to complete the work, create innovative solutions and quality of past performance in similar projects.

Applicants may be required to submit additional written information or be asked to make an oral presentation before the technical review committee to clarify Statements made in their proposal.

SECTION 7. PROPOSAL SUBMISSION

Questions concerning this solicitation may be e-mailed to the Division of Purchases at DOA.PurQuestions8@purchasing.ri.gov no later than the date and time indicated on page one of this solicitation. Please reference **RFP # 7550815** on all correspondence. Questions should be submitted in a Microsoft Word attachment. Answers to questions received, if any, will be posted on the Internet as an addendum to this solicitation. It is the responsibility of all interested parties to monitor the Division of Purchases website for any related postings such as addendum(s) and download this information. If technical assistance is required to download, call the Help Desk at (401) 574-8100.

Offerors are encouraged to submit written questions to the Division of Purchases. **No other contact with State parties will be permitted.** Interested offerors may submit proposals to provide the services covered by this Request on or before the date and time listed on the cover page of this solicitation. Responses received after this date and time, as registered by the official time clock in the reception area of the Division of Purchases will not be considered.

Responses should be mailed or hand-delivered in a sealed envelope marked "**RFP# 7550815**" to:

RI Dept. of Administration
Division of Purchases, 2nd floor
One Capitol Hill
Providence, RI 02908-5855

NOTE: Proposals received after the above-referenced due date and time will not be considered. Proposals misdirected to other State locations or those not presented to the Division of Purchases by the scheduled due date and time will be determined to be late and will not be considered. Proposals faxed, or emailed, to the Division of Purchases will not be considered. The official time clock is in the reception area of the Division of Purchases.

SECTION 8. RESPONSE CONTENTS

Responses shall include the following:

1. **R.I.V.I.P generated 'Vendor Certification Cover Sheet'** – One (1) completed and signed three-page *original* printed paper copy of this form. (The form is available for download from the RI Division of Purchases Internet home page at www.purchasing.ri.gov.)
2. **W-9 (Rhode Island version)** – One (1) completed and signed *original* printed paper copy of this form. (The form is available for download from the RI Division of Purchases Internet home page at www.purchasing.ri.gov.)
3. **A Separate Technical Proposal** - describing the Staff qualifications, Capabilities, capacity and qualifications of the offeror, Work plan and Suitability of the Solution. In addition, describe your abilities to meet the scope of work and experience with and for similar projects, and all information described earlier in this solicitation. The Technical Proposal is limited to six (6) pages (this excludes any appendices, exhibits, and/or key staff resumes) .
 - a. Electronic CD-R Copy to include the following files:
 - i. One (1) electronic copy of the Technical Proposal in PDF format (.pdf)
 - ii. One (1) electronic copy of Exhibit A – Detailed Business and Technical Requirements in Excel format (.xls).
 - iii. One (1) electronic copy of Exhibit B – Detailed Business Scenario Narrative Worksheet in Excel format (.xls).
 - b. Printed Paper Copies:
 - i. One (1) printed Paper copy of the Technical Proposal, marked “Technical Proposal - Original” and signed.
 - ii. One (1) printed Paper copy Exhibit A – Detailed Business and Technical Requirements, marked “Exhibit A – Detailed Business and Technical Requirements – Original” and signed.
 - iii. One (1) printed paper copy Exhibit B – Detailed Business Scenario Narrative Worksheet, marked “Exhibit B – Detailed Business Scenario Narrative Worksheet – Original” and signed.
4. **A separate, signed and sealed Cost Proposal** – A separate, signed and sealed Cost Proposal with fee structure proposed as outlined in Section 5 to complete all of the requirements of this project.
 - a. Electronic CD-R Copy to include the following files:
 - i. One (1) electronic copy of the bidder's cost proposal in PDF format (.pdf)
 - ii. One (1) electronic copy of Exhibit C – Uniform Cost Schedule in Excel format (.xls)
 - b. Printed Paper Copies:
 - i. One (1) printed Paper copy of the bidder's cost proposal, marked “Cost Proposal -Original” and signed.

- ii. One (1) printed Paper copy Exhibit C – Uniform Cost Schedule, marked “Exhibit C - Uniform Cost Schedule – Original” and signed.

5. Formatting of CD-Rs – Separate CD-Rs are required for the Technical Proposal and Cost Proposal. All CD-Rs submitted must be labeled with:

- a. Vendor’s name
- b. RFP #
- c. RFP Title
- d. Proposal Type (e.g., Technical Proposal or Cost Proposal)
- e. If file sizes require more than one CD-R, multiple CD-Rs are acceptable. Each CD-R must include the above labeling and additional labeling of how many CD-Rs should be accounted for (e.g., 3 CD-R are submitted for a technical proposal and should have additional label of 1 of 3 on CD-R 1, 2 of 3 on CD-R 2, 3 of 3 on CD-R 3).

Vendors are responsible for testing their CD-Rs before submission as the State’s inability to read your CD-Rs will be grounds for rejection of a Vendor’s proposal. All files should be readable and readily accessible on the CD-Rs submitted with no instructions to download files from any external resource(s). If a file is partial, corrupt or unreadable, the State shall consider it “non-responsive”. USB Drives or any other electronic media will not be accepted. Please note that CD-Rs submitted, shall not be returned.

6. Formatting of written documents and printed paper copies:

- a. For clarity, the Technical Proposal and Cost Proposal shall be typed. These documents shall be single-spaced with 1” margins on white 8.5”x 11” paper using a font of 12 point Calibri or 12 point Times New Roman.
- b. All pages on the Technical Proposal and Cost Proposal are to be sequentially numbered in the footer, starting with number 1 on the first page of the narrative (this does not include the cover page or table of contents) through to the end, including all forms and attachments. The Vendor’s name should appear on every page, including attachments. Each attachment should be referenced appropriately within the proposal section and the attachment title should reference the proposal section it is applicable to.
- c. Exhibits shall be submitted in the format provided with no modifications to the content or structure.
- d. Printed copies are to be only bound with removable paper/binder clips.

SECTION 9. CONCLUDING STATEMENTS

Notwithstanding the above, the State reserves the right not to award this contract or to award on the basis of cost alone, to accept or reject any or all proposals, and to award in its best interest.

Proposals found to be technically or substantially non-responsive at any point in the evaluation process will be rejected and not considered further.

The State may, at its sole option, elect to require presentation(s) by offerors clearly in consideration for award.

If a Vendor is selected for an award, no work is to commence until a Purchase Order is issued.

The State's General Conditions of Purchase contain the specific contract terms, stipulations and affirmations to be utilized for the contract awarded to the RFP. The State's General Conditions of Purchases/General Terms and Conditions can be found at the following URL: <https://www.purchasing.ri.gov/RVIP/publicdocuments/ATTA.pdf>