



Solicitation Information
August 28, 2019

RFP #7598940

TITLE: AUDITS MANAGEMENT SOFTWARE SOLUTIONS - DOA

SUBMISSION DEADLINE: SEPTEMBER 24, 2019 10:00 AM Eastern Time

PRE-BID/ PROPOSAL CONFERENCE: No

MANDATORY:

If YES, any Vendor who intends to submit a bid proposal in response to this solicitation must have its designated representative attend the mandatory Pre-Bid/ Proposal Conference. The representative must register at the Pre-Bid/ Proposal Conference and disclose the identity of the vendor whom he/she represents. A vendor's failure to attend and register at the mandatory Pre-Bid/ Proposal Conference shall result in disqualification of the vendor's bid proposals as non-responsive to the solicitation.

DATE:

LOCATION:

Questions concerning this solicitation must be received by the Division of Purchases at doa.purquestions15@purchasing.ri.gov no later than **SEPTEMBER 10, 2019 10:00 (ET)**. Questions should be submitted in a *Microsoft Word attachment*. Please reference the RFP# on all correspondence. Questions received, if any, will be posted on the Division of Purchases' website as an addendum to this solicitation. It is the responsibility of all interested parties to download this information.

BID SURETY BOND REQUIRED: No

PAYMENT AND PERFORMANCE BOND REQUIRED: No

Robert DeAngelis, Senior Buyer

Note to Applicants:

- Applicants must register on-line at the State Purchasing Website at www.ridop.ri.gov
- Proposals received without a completed RIVIP Bidder Certification Cover Form attached may result in disqualification.

THIS PAGE IS NOT A BIDDER CERTIFICATION COVER FORM

Table of Contents

SECTION 1. INTRODUCTION.....	3
Instructions and Notifications to Offerors.....	3
SECTION 2. BACKGROUND	6
SECTION 3: SCOPE OF WORK AND REQUIREMENTS	6
General Scope of Work	6
Specific Activities / Tasks	7
SECTION 4: PROPOSAL	8
A. Technical Proposal.....	8
B. Cost Proposal	11
C. ISBE Proposal.....	11
SECTION 5: EVALUATION AND SELECTION	12
SECTION 6. QUESTIONS	15
SECTION 7. PROPOSAL CONTENTS.....	15
SECTION 8. PROPOSAL SUBMISSION.....	17
SECTION 9. CONCLUDING STATEMENTS	17
APPENDIX A. PROPOSER ISBE RESPONSIBILITIES AND MBE, WBE, AND/OR DISABILITY BUSINESS ENTERPRISE PARTICIPATION FORM	18
APPENDIX B. COST PROPOSAL FORM.....	21

SECTION 1. INTRODUCTION

The Rhode Island Department of Administration/Division of Purchases, on behalf of the Rhode Island Department of Administration, Office of Management and Budget is soliciting proposals from qualified firms to provide off the shelf audit management software for the Office of Internal Audit, 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 Division of Purchases’ website at www.ridop.ri.gov.

The initial contract period will begin approximately 30 days after award of bid awarded for three years with up to three additional one-year options for renewal based upon vendor performance and availability of funds. The anticipated start date is October 1, 2019.

This is a Request for Proposals, not a Request for Quotes. Responses will be evaluated on the basis of the relative merits of the proposal, in addition to cost; there will be no public opening and reading of responses received by the Division of Purchases pursuant to this solicitation, 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 RFP are solicited. However, proposals which depart from or materially alter the terms, requirements, or scope of work defined by this RFP may be rejected as being non-responsive.
3. All costs associated with developing or submitting a proposal in response to this RFP or for providing oral or written clarification of its content, shall be borne by the vendor. The State assumes no responsibility for these costs even if the RFP is cancelled or continued.
4. Proposals are considered to be irrevocable for a period of not less than 180 days following the opening date, and may not be withdrawn, except with the express written permission of the State Purchasing Agent.
5. All pricing submitted will be considered to be firm and fixed unless otherwise indicated in the proposal.
6. 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. 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.

7. The purchase of goods and/or services under an award made pursuant to this RFP will be contingent on the availability of appropriated funds.
8. Vendors are advised that all materials submitted to the Division of Purchases for consideration in response to this RFP may be considered to be public records as defined in R. I. Gen. Laws § 38-2-1, *et seq.* and may be released for inspection upon request once an award has been made.

Any information submitted in response to this RFP that a vendor believes are 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 Division of Purchases 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.

9. 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.
10. By submission of proposals in response to this RFP vendors agree to comply with R. I. General Laws § 28-5.1-10 which mandates that contractors/subcontractors doing business with the State of Rhode Island exercise the same commitment to equal opportunity as prevails under Federal contracts controlled by Federal Executive Orders 11246, 11625 and 11375.

Vendors are required to ensure that they, and any subcontractors awarded a subcontract under this RFP, undertake or continue programs to ensure that minority group members, women, and persons with disabilities are afforded equal employment opportunities without discrimination on the basis of race, color, religion, sex, sexual orientation, gender identity or expression, age, national origin, or disability.

Vendors and subcontractors who do more than \$10,000 in government business in one year are prohibited from engaging in employment discrimination on the basis of race, color, religion, sex, sexual orientation, gender identity or expression, age, national origin, or disability, and are required to submit an “Affirmative Action Policy Statement.”

Vendors with 50 or more employees and \$50,000 or more in government contracts must prepare a written “Affirmative Action Plan” prior to issuance of a purchase order.

- a. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation.

b. Vendors further agree, where applicable, to complete the “Contract Compliance Report” (<http://odeo.ri.gov/documents/odeo-eeo-contract-compliance-report.pdf>), as well as the “Certificate of Compliance” (<http://odeo.ri.gov/documents/odeo-eeo-certificate-of-compliance.pdf>), and submit both documents, along with their Affirmative Action Plan or an Affirmative Action Policy Statement, prior to issuance of a purchase order. For public works projects vendors and all subcontractors must submit a “Monthly Utilization Report” (<http://odeo.ri.gov/documents/monthly-employment-utilization-report-form.xlsx>) to the ODEO/State Equal Opportunity Office, which identifies the workforce actually utilized on the project.

For further information, contact Vilma Peguero at the Rhode Island Equal Employment Opportunity Office, at 222-3090 or via e-mail at ODEO.EOO@doa.ri.gov .

11. In accordance with R. I. Gen. Laws § 7-1.2-1401 no foreign corporation has the right to transact business in Rhode Island until it has procured a certificate of authority so to do from the Secretary of State. This is a requirement only of the successful vendor(s). For further information, contact the Secretary of State at (401-222-3040).
12. In accordance with R. I. Gen. Laws §§ 37-14.1-1 and 37-2.2-1 it is the policy of the State to support the fullest possible participation of firms owned and controlled by minorities (MBEs) and women (WBEs) and to support the fullest possible participation of small disadvantaged businesses owned and controlled by persons with disabilities (Disability Business Enterprises a/k/a “DisBE”)(collectively, MBEs, WBEs, and DisBEs are referred to herein as ISBEs) in the performance of State procurements and projects. As part of the evaluation process, vendors will be scored and receive points based upon their proposed ISBE utilization rate in accordance with 150-RICR-90-10-1, “Regulations Governing Participation by Small Business Enterprises in State Purchases of Goods and Services and Public Works Projects”. As a condition of contract award vendors shall agree to meet or exceed their proposed ISBE utilization rate and that the rate shall apply to the total contract price, inclusive of all modifications and amendments. Vendors shall submit their ISBE participation rate on the enclosed form entitled “MBE, WBE and/or DisBE Plan Form”, which shall be submitted in a separate, sealed envelope as part of the proposal. ISBE participation credit will only be granted for ISBEs that are duly certified as MBEs or WBEs by the State of Rhode Island, Department of Administration, Office of Diversity, Equity and Opportunity or firms certified as DisBEs by the Governor’s Commission on Disabilities. The current directory of firms certified as MBEs or WBEs may be accessed at <http://odeo.ri.gov/offices/mbeco/mbe-wbe.php>. Information regarding DisBEs may be accessed at www.gcd.ri.gov.

For further information, visit the Office of Diversity, Equity & Opportunity’s website, at <http://odeo.ri.gov/> and *see* R.I. Gen. Laws Ch. 37-14.1, R.I. Gen. Laws Ch. 37-2.2, and 150-RICR-90-10-1. The Office of Diversity, Equity & Opportunity may be contacted at, (401) 574-8670 or via email Dorinda.Keene@doa.ri.gov

SECTION 2. BACKGROUND

The Office of Internal Audit (OIA) is the internal audit function for the State of Rhode Island and is authorized under Rhode Island General law 35-7.1. As deemed necessary or expedient by the OIA, audits may be made relative to the financial affairs or the economy and efficiency of management of each department, agency, or public body. The OIA shall determine which audits will be performed in accordance with a risk-based evaluation.

In meeting its statutory authority, the OIA utilizes audit management software to document its work performed and track performance metrics. In the past, OIA used TeamMate, a Wolters Kluwer product. The TeamEWP is a Windows-based Audit Management System which has the capability of facilitating the audit process from risk assessment to reporting. The TeamMate Suite allowed the use of:

- Team Risk- create an assessment, create audit plans, score individual and global risks, etc.
- Team Schedule- create schedules, schedule projects & resources, assign leads, etc.
- TeamEWP- create projects, perform tests, document results
- Time & Expense- completion and tracking of T&E
- TeamCentral- track issues, track projects, update status

The OIA has utilized this software for over 12 years and is evaluating whether other audit management software is capable of meeting its current and future needs at a reduced cost as detailed in the Scope of Work below.

SECTION 3: SCOPE OF WORK AND REQUIREMENTS

General Scope of Work

Services to provide an Audit Management Software Solution with implementation services for the Office of Internal Audit, which currently consists of 20 staff members.

The Office of Internal Audit requires a fully functional audit management solution. The vendor will be required to provide implementation, conversion of open audits, training on the proposed system, as well as, on-going support and service including system upgrades, fixes, and enhancements. The proposal will encompass all requirements to automate the audit process including:

- Risk assessment and analysis
- Universe Management
- Planning
- Project schedule
- Resource and Time Management
- Electronic work papers
- Issue Management and Tracking
- Reporting: Having both a repository of various templates and also the ability to configure audit reports.

- Documentation Library

Specific Activities / Tasks

1. System Configuration

- a. Compatibility with Microsoft Office products: Word, Excel, Visio, and PowerPoint
- b. Provide multiple security levels in the application that allow for a separation of duties
- c. Provide setup for the database including backup/maintenance scripts
- d. Include recommendations for optimal server configuration
- e. Offer software as a service/web-based hosting

2. Audit Planning

- a. Ability to create an Audit Universe and develop an annual operational plan based on risk assessments or other criteria
- b. Provide budgeting support for audit plans that will report on deviations from projected to actual project time
- c. Create a draft plan of the yearly audit schedule

3. Electronic Workpapers

- a. Ability to record the following information associated with each audit project:
 - System/process description
 - Objectives
 - Risks & mitigating controls
 - Tests to examine effectiveness of controls
 - Evidence obtained in performing the tests
 - Results from tests (i.e. finding information)
 - Recommendations
 - Management responses and agreed action plans for issues reported
 - Review notes and other correspondence
 - Audit sign-off
- b. Ability to assign specific audit step to individual auditor
- c. Must provide two-way cross referencing between documents and support point-to-point hyperlinks for Word, Excel, PowerPoint, Visio, and PDF files
- d. Ability to print completed workpapers, review notes, audit programs, and other electronic documentation created within the system
- e. Provide flexibility to add/delete/modify audit steps in standard audit programs
- f. Allow for search capabilities within audit findings, projects, and the document library
- g. Ability to create severity ratings and assign them to findings
- h. Ability to write review notes with links to targeted work papers
- i. Must be able to attach scanned documents and annotate documents (Word, Excel, PowerPoint, and PDF) with standard tick marks/comments

from within the application (without additional software license requirements)

4. Audit Reporting
 - a. Provide standard reports for common inquiries such as audit planning, audit project report, project tracking, outstanding issues, and timesheet reports
 - b. Ability to easily customize the standard audit report and other ad-hoc reports
 - c. Allow for custom reports to be saved in Word, Excel, or PDF formats
 - d. Allow for distribution of reports via email
5. Audit Response & Tracking
 - a. Must provide online portal or reporting option that allows management responses to be automatically populated in the system
 - b. Allow for customer surveys to be generated and feedback recorded
 - c. Ability to track and report on issues in a variety of ways including audit project, audit manager, or departmental area.
6. Time Reporting
 - a. Ability to track time for audit projects, training, other chargeable and non-chargeable activities
 - b. Capture time by project with the ability to report on actual versus budgeted time
 - c. Track planned and unplanned hours for an audit assignment
 - d. Ability to generate administrative reports by auditor, completed projects and projects in-progress
7. Document Library
 - a. Must provide indexed and searchable repository for:
 - Standard audit programs and notifications
 - Policies and procedures
 - Tests, controls, and associated risks
 - Common findings
 - Workpaper templates
 - b. Include standard audit programs from COSO, IIA, etc. or allow them to be imported.
8. Optional Functionality
 - a. Controls Module available for documentation of key controls.

SECTION 4: PROPOSAL

A. Technical Proposal

Narrative and format: The proposal should address specifically each of the following 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 in the field of training, implementation, and support for audit

management software. The Offeror's proposal must describe policies, plans, and intentions with regard to maintaining continuity of key staff assigned to the project and avoiding and minimizing the impact of necessary staff changes.

2. **Capability, Capacity, and Qualifications of the Offeror** - Please provide a summary matrix listing previous projects similar to this Request for Proposal in size, scope, and complexity. As applicable, please include support of a similar nature provided to other state entities. The Evaluation Committee will use no more than three narrative project descriptions submitted by the Offeror during its evaluation of the proposal.

The Offeror must provide narrative descriptions to highlight the similarities between their experience and this Request for Proposal. These descriptions must include:

- The time period of the project
- The scheduled and actual completion dates
- Staff-months expended
- The offeror's responsibilities
- For reference purposes, a customer name (including the name of a contact person, a current telephone number, a facsimile number and e-mail address). At least three references from projects should be included. The reference information provided may be factored into the evaluation process.
- Each project description shall identify whether the work was performed as the prime contractor or as a subcontractor. If an offeror performed as the prime contractor, the description must provide the originally scheduled completion date and budget, as well as the actual (or currently planned) completion date and actual (or currently planned) budget.

3. **Work Plan** – Please describe in detail an implementation plan, timeline, and detailed work plan. Since this request is for an off the shelf product, the implementation plan should include a timeline with dates of initiation and completion not to exceed 60 days. Include all requirements, if any, for the Office of Internal Audit's resources that must be used for each step of the implementation. The detailed work plan should include a complete work breakdown structure will all tasks having work forecasts, clear deliverables, and appropriate dependencies. The vendor should include what resources the State will need to make available, and at what timeframes during the work. The plan should prove that the target dates are achievable, and support is provided. Any on-site visits required to perform the services herein must be included in the cost of the base solution. This must include all travel, meals, lodging and expenses. The vendor must complete Appendix B, security questionnaire, and return it with the technical proposal.

4. **Insurance-** The successful Offeror shall provide satisfactory evidence of all required insurance coverage and licenses prior to performance or as part of the technical proposal.
5. **Maintenance/Support Agreement-** Maintenance/Support Agreement must include, but not limited to, any upgrades, updates, enhancements, new releases, etc. to the product released during the term of the contract. Offerors must detail what is contained in their maintenance/support agreement, to include descriptions of service level offerings and licensing considerations.
6. **Training Plan-** The Offeror must develop and submit a Training Plan that supports all responsibilities of this RFP. The Offeror must supply initial technical training on the proper use of any software solution. The training must be sufficient to enable Office of Internal Audits' designated individuals to fully understand, test, validate, use tools for, and operate and instruct others as to the features, functions, capabilities and maintenance (e.g. trouble identification) of the software so as to perform all functions effectively and without error. The Offeror shall also identify user groups and additional training resources that might be beneficial to OIA's implementation.
7. **Quality Assurance Plan-** The Offeror must develop and submit a Quality Assurance Plan that supports all core responsibilities of this RFP. The plan must describe how the Offeror will ensure the quality of services being provided, how it will identify inappropriate service, how it will correct identified problems, and how it will respond to issues of service and quality identified by OIA.
8. **Conversion/Migration/Integration-** Identify and describe in detail plan for conversion/migration of data and integration with existing system.
9. **Additional Functionality/Services-** Additional enhancements that may benefit the application, i.e. any specifications for future expansion, or for features or capabilities that will likely be needed by OIA at some time in the future may be submitted. Products under development to meet these future needs should be reference with anticipated release dates.
10. **Consulting/Development/Customization/Programming Services-** Detail plan for future consulting, development, customization and programming services based on fixed hourly rate to include travel, meals, lodging, and all expenses. This cost will not be used in evaluation but may be negotiated.
11. **Visual Detail-** Provide screen shots or a video of the audit management software solution. This will be reviewed as part of the technical portion of the evaluation.

B. Cost Proposal

Detailed Budget and Budget Narrative:

Provide a detailed cost proposal for fee to be charged for the services specified in this solicitation.

The vendor must provide a Cost Proposal using the template provided in Appendix B. The Cost Proposal must correspond directly to the Work Plan presented in Section 4A (Technical Proposal) and outline the costs to fulfill the scope of this RFP document which should be identified as the Offeror's "base solution." For each requirement, the Offeror should document the product/service and the relative cost. The cost for each requirement of the RFP should have a cost listed separately as the "base solution." Again, the base solution must describe/identify/include all products/services to fulfill the scope of this RFP document. However, there may be additional products/services/enhancements/add-ons that have not been requested in the scope of the RFP document but will be required for Offeror's product to fulfill the scope of the RFP document. If this is the case, Offeror must identify/describe/include these additional products/services in their Cost Proposals as the "base solution."

If your offer includes any additional enhancements and/or add-on components or services that is not required to fulfill the scope of the RFP, these products/services must be identified and described in your Cost Proposal and labeled as part of Appendix B so that the Office can clearly identify what is included in your cost base solution and a separate appendix for products not included in the base solution will aide in our evaluation process along with providing a complete understanding of your offer contents. All costs must be included in the Cost Proposal.

Please provide the following in the separate cost proposal:

In the submitted proposals please list the initial cost of software services, license renewal and/or maintenance and support for years 1-3, additional costs for appended software needed for data validation, data conversion, migration, and training. The software will need to accommodate a minimum of 20 users and with the option to add additional users as needed in increments of 5. Please include if applicable the support cost and hourly rate for future consulting services or needed assistance once installation and training has occurred. Also, please include the cost for hosting the proposed software.

The State expects that all costs including implementation fees are included and totaled in the proposal.

C. ISBE Proposal

See Appendix A for information and the MBE, WBE, and/or Disability Business Enterprise Participation Plan form(s). Bidders are required to complete, sign and submit these forms with their overall proposal in a sealed envelope. Please complete separate forms for each MBE, WBE and/or Disability Business Enterprise subcontractor/supplier to be utilized on the solicitation.

SECTION 5: EVALUATION AND SELECTION

Proposals shall be reviewed by a Technical Evaluation Committee (“TEC”) comprised of staff from State agencies. The TEC first shall consider technical proposals.

Phase 1- Review of Vendor Submitted Technical Proposal: The Technical Review Committee will review and score the Vendor’s submitted technical proposal. A total of 60 points are available in this phase. Vendors must score a minimum of 45 of the 60 (75%) available points to be invited in for an interview/software demonstration. Any technical proposals scoring less than 45 points shall not have the accompanying cost or ISBE participation proposals opened and evaluated. The proposal will be dropped from further consideration.

Phase 2- Interview with Vendors: The Technical Review Committee may meet with Vendors who meet the minimum score in Phase 1 of the technical review. Vendor(s) meeting the minimum score requirement will receive written notice that they have qualified for an interview and will be provided with details on the presentation.

During the interview, Vendors will present their team and the firm’s qualifications and experience, their approach to meeting the State’s requirements, and respond to questions from the Technical Review Committee. The State reserves the right to request detailed responses to follow-up questions identified during the Interview. The State may perform additional due diligence and talk to selected client references to gain a better understanding of their audit management software experience. The Demonstration/Interview will be evaluated based on the following criteria: a.) Vendor’s on-site presentation and responses to questions and b.) Vendor’s client references and demonstrated record of successful implementations.

A total of 15 points are available during this phase. Vendors must score a minimum of 12 of the 15 (80%) available points in the interview phase to move from the technical review phase to the cost review. Interviews scoring less than 12 points shall not have the cost or ISBE proposals opened and the proposal shall be dropped from further consideration.

To advance to the Cost Evaluation stage, the Vendor’s bid must receive a minimum of 57 of the maximum of 75 (76%) technical points and meet the minimum score requirement for both phases of the Technical Review.

Cost Proposal Review: Proposals which score 57 points or higher in the Technical Review and meet the minimum score requirement for both phases of the Technical Review shall be evaluated for cost and assigned a maximum of 25 points in the cost category, bringing the potential maximum score to 100 points. After total possible evaluation points are determined ISBE proposals shall be evaluated and assigned up to 6 bonus points for ISBE participation.

The Division of Purchases reserves the right to select the vendor(s) or firm(s) (“vendor”) that it deems to be most qualified to provide the goods and/or services as specified herein; and, conversely, reserves the right to cancel the solicitation in its entirety in its sole discretion.

Proposals shall 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	25 Points
Maintenance/Support	10 Points
Training	10 Points
Phase 1- Total Possible Points	60 Points
Vendor Interviews	15 Points
Phase 2- Total Possible Points	15 Points
Total Possible Technical Points	75 Points
Cost proposal*	25 Points
Total Possible Evaluation Points	100 Points
ISBE Participation**	6 Bonus Points
Total Possible Points	106 Points

***Cost Proposal Evaluation:**

The vendor with the lowest cost proposal shall receive one hundred percent (100%) of the available points for cost. All other vendors shall be awarded cost points based upon the following formula:

$$(\text{lowest cost proposal} / \text{vendor's cost proposal}) \times \text{available points}$$

For example: If the vendor with the lowest cost proposal (Vendor A) bids \$65,000 and Vendor B bids \$100,000 for monthly costs and service fees and the total points available are thirty (30), Vendor B's cost points are calculated as follows:

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

****ISBE Participation Evaluation:**

a. Calculation of ISBE Participation Rate

1. ISBE Participation Rate for Non-ISBE Vendors. The ISBE participation rate for non-ISBE vendors shall be expressed as a percentage and shall be calculated by dividing the amount of non-ISBE vendor's total contract price that will be subcontracted to ISBEs by the non-ISBE vendor's total contract price. For example, if the non-ISBE's total contract price is \$100,000.00 and it subcontracts a total of \$12,000.00 to ISBEs, the non-ISBE's ISBE participation rate would be 12%.
2. ISBE Participation Rate for ISBE Vendors. The ISBE participation rate for ISBE vendors shall be expressed as a percentage and shall be calculated by dividing the amount of the ISBE vendor's total contract price that will be subcontracted to ISBEs and the amount that will be self-performed by the ISBE vendor by the ISBE vendor's total contract price. For example, if the ISBE vendor's total contract price is \$100,000.00 and it subcontracts a total of \$12,000.00 to ISBEs and will perform a total of \$8,000.00 of the work itself, the ISBE vendor's ISBE participation rate would be 20%.

b. Points for ISBE Participation Rate:

The vendor with the highest ISBE participation rate shall receive the maximum ISBE participation points. All other vendors shall receive ISBE participation points by applying the following formula:

$$(\text{Vendor's ISBE participation rate} \div \text{Highest ISBE participation rate} \\ \times \text{Maximum ISBE participation points})$$

For example, assuming the weight given by the RFP to ISBE participation is 6 points, if Vendor A has the highest ISBE participation rate at 20% and Vendor B's ISBE participation rate is 12%, Vendor A will receive the maximum 6 points and Vendor B will receive $(12\% \div 20\%) \times 6$ which equals 3.6 points.

General Evaluation:

Points shall be assigned based on the vendor's clear demonstration of the ability to provide the requested goods and/or services. Vendors may be required to submit additional written information or be asked to make an oral presentation before the TEC to clarify statements made in the proposal.

SECTION 6. QUESTIONS

Questions concerning this solicitation must be e-mailed to the Division of Purchases at doa.purquestions15@purchasing.ri.gov no later than the date and time indicated on page one of this solicitation. No other contact with State parties is permitted. Please reference **RFP #7598940** on all correspondence. Questions should be submitted in writing in a Microsoft Word attachment in a narrative format with no tables. Answers to questions received, if any, shall be posted on the Division of Purchases' website as an addendum to this solicitation. It is the responsibility of all interested parties to monitor the Division of Purchases website for any procurement related postings such as addenda. If technical assistance is required, call the Help Desk at (401) 574-8100.

SECTION 7. PROPOSAL CONTENTS

A. Proposals shall include the following:

1. One completed and signed RIVIP Bidder Certification Cover Form (included in the original copy only) downloaded from the Division of Purchases website at www.ridop.ri.gov. *Do not include any copies in the Technical or Cost proposals.*
2. One completed and signed Rhode Island W-9 (included in the original copy only) downloaded from the Division of Purchases website at [/documents/Forms/Misc Forms/13 RI Version of IRS W-9 Form.docx](#). *Do not include any copies in the Technical or Cost proposals.*
3. Two (2) completed original and copy versions, signed and sealed Appendix A. MBE, WBE, and/or Disability Business Enterprise Participation Plan. Please complete separate forms for each MBE/WBE or Disability Business Enterprise subcontractor/supplier to be utilized on the solicitation. *Do not include any copies in the Technical or Cost proposals.*
4. Technical Proposal - describing the qualifications and background of the applicant and experience with and for similar projects, and all information described earlier in this solicitation. The technical proposal cannot exceed twenty-five pages (this excludes any appendices and as appropriate, resumes of key staff that will provide services covered by this request).
 - a. One (1) Electronic copy on a CD-R, marked "Technical Proposal - Original".
 - b. One (1) printed paper copy, marked "Technical Proposal -Original" and signed.

- c. Four (4) printed paper copies
5. Cost Proposal - A separate, signed and sealed cost proposal reflecting the fee structure detailed in Appendix B, proposed to complete all of the requirements of this project structure.,
- a. One (1) Electronic copy on a CD-R, marked “Cost Proposal -Original”.
 - b. One (1) printed paper copy, marked “Cost Proposal -Original” and signed.
 - c. Four (4) printed paper copies

B. Formatting of proposal response contents should consist of the following:

- A. 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-Rs are submitted for a technical proposal and each CD-R should have additional label of ‘1 of 3’ on first CD-R, ‘2 of 3’ on second CD-R, ‘3 of 3’ on third CD-R).

Vendors are responsible for testing their CD-Rs before submission as the Division of Purchase’s inability to open or read a CD-R may 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 Division of Purchases may consider it “non-responsive”. USB Drives or any other electronic media shall not be accepted. Please note that CD-Rs submitted, shall not be returned.

B. Formatting of written documents and printed copies:

- a.** For clarity, the technical 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 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.** The cost proposal shall be typed using the formatting provided on the provided template.
- d.** Printed copies are to be only bound with removable binder clips.

SECTION 8. PROPOSAL SUBMISSION

Interested vendors must submit proposals to provide the goods and/or services covered by this RFP 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, shall not be accepted.

Proposals should be mailed or hand-delivered in a sealed envelope marked “**RFP #7598940**” 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 shall not be accepted. Proposals misdirected to other State locations or those not presented to the Division of Purchases by the scheduled due date and time shall be determined to be late and shall not be accepted. Proposals faxed, or emailed, to the Division of Purchases shall not be accepted. The official time clock is in the reception area of the Division of Purchases.

SECTION 9. CONCLUDING STATEMENTS

Notwithstanding the above, the Division of Purchases reserves the right to award on the basis of cost alone, to accept or reject any or all proposals, and to award in the State’s 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.

If a Vendor is selected for an award, no work is to commence until a purchase order is issued by the Division of Purchases.

The State’s General Conditions of Purchase contain the specific contract terms, stipulations and affirmations to be utilized for the contract awarded for this RFP. The State’s General Conditions of Purchases can be found at the following URL: <https://rules.sos.ri.gov/regulations/part/220-30-00-13>

APPENDIX A. PROPOSER ISBE RESPONSIBILITIES AND MBE, WBE, AND/OR DISABILITY BUSINESS ENTERPRISE PARTICIPATION FORM

A. Proposer's ISBE Responsibilities (from 150-RICR-90-10-1.7.E)

1. Proposal of ISBE Participation Rate. Unless otherwise indicated in the RFP, a Proposer must submit its proposed ISBE Participation Rate in a sealed envelope or via sealed electronic submission at the time it submits its proposed total contract price. The Proposer shall be responsible for completing and submitting all standard forms adopted pursuant to 105-RICR-90-10-1.9 and submitting all substantiating documentation as reasonably requested by either the Using Agency's MBE/WBE Coordinator, Division, ODEO, or Governor's Commission on Disabilities including but not limited to the names and contact information of all proposed subcontractors and the dollar amounts that correspond with each proposed subcontract.
2. Failure to Submit ISBE Participation Rate. Any Proposer that fails to submit a proposed ISBE Participation Rate or any requested substantiating documentation in a timely manner shall receive zero (0) ISBE participation points.
3. Execution of Proposed ISBE Participation Rate. Proposers shall be evaluated and scored based on the amounts and rates submitted in their proposals. If awarded the contract, Proposers shall be required to achieve their proposed ISBE Participation Rates. During the life of the contract, the Proposer shall be responsible for submitting all substantiating documentation as reasonably requested by the Using Agency's MBE/WBE Coordinator, Division, ODEO, or Governor's Commission on Disabilities including but not limited to copies of purchase orders, subcontracts, and cancelled checks.
4. Change Orders. If during the life of the contract, a change order is issued by the Division, the Proposer shall notify the ODEO of the change as soon as reasonably possible. Proposers are required to achieve their proposed ISBE Participation Rates on any change order amounts.
5. Notice of Change to Proposed ISBE Participation Rate. If during the life of the contract, the Proposer becomes aware that it will be unable to achieve its proposed ISBE Participation Rate, it must notify the Division and ODEO as soon as reasonably possible. The Division, in consultation with ODEO and Governor's Commission on Disabilities, and the Proposer may agree to a modified ISBE Participation Rate provided that the change in circumstances was beyond the control of the Proposer or the direct result of an unanticipated reduction in the overall total project cost.

B. MBE, WBE, AND/OR Disability Business Enterprise Participation Plan Form:

Attached is the MBE, WBE, and/or Disability Business Enterprise Participation Plan form. Bidders are required to complete, sign and submit with their overall proposal in a sealed envelope. Please complete separate forms for each MBE, WBE and/or Disability Business Enterprise subcontractor/supplier to be utilized on the solicitation.



**STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS
DEPARTMENT OF ADMINISTRATION
ONE CAPITOL HILL
PROVIDENCE, RHODE ISLAND 02908**

MBE, WBE, and/or DISABILITY BUSINESS ENTERPRISE PARTICIPATION PLAN

Bidder's Name:

Bidder's Address:

Point of Contact:

Telephone:

Email:

Solicitation No.:

Project Name:

This form is intended to capture commitments between the prime contractor/vendor and MBE/WBE and/or Disability Business Enterprise subcontractors and suppliers, including a description of the work to be performed and the percentage of the work as submitted to the prime contractor/vendor. Please note that all MBE/WBE subcontractors/suppliers must be certified by the Office of Diversity, Equity and Opportunity MBE Compliance Office and all Disability Business Enterprises must be certified by the Governor's Commission on Disabilities at time of bid, and that MBE/WBE and Disability Business Enterprise subcontractors must self-perform 100% of the work or subcontract to another RI certified MBE in order to receive participation credit. Vendors may count 60% of expenditures for materials and supplies obtained from an MBE certified as a regular dealer/supplier, and 100% of such expenditures obtained from an MBE certified as a manufacturer. This form must be completed in its entirety and submitted at time of bid. **Please complete separate forms for each MBE/WBE or Disability Business Enterprise subcontractor/supplier to be utilized on the solicitation.**

Name of Subcontractor/Supplier:			
Type of RI Certification:	<input type="checkbox"/> MBE	<input type="checkbox"/> WBE	<input type="checkbox"/> Disability Business Enterprise
Address:			
Point of Contact:			
Telephone:			
Email:			
Detailed Description of Work To Be Performed by Subcontractor or Materials to be Supplied by Supplier:			
Total Contract Value (\$):		Subcontract Value (\$):	ISBE Participation Rate (%):
Anticipated Date of Performance:			

I certify under penalty of perjury that the forgoing statements are true and correct.

Prime Contractor/Vendor Signature	Title	Date
--	--------------	-------------

Subcontractor/Supplier Signature	Title	Date

M/W/Disability Business Enterprise Utilization Plan - RFPs - Rev. 5/24/2017

Appendix B
Audit Management Software Solution

Cost Proposal:

Notwithstanding any other instructions herein, you shall submit the following Cost Proposal as a separate, signed and sealed document:

Vendor Name:

Fax #:

Contact Person:

Telephone #:

Delivery Time:

Cost Component	Year 1	Year 2	Year 3	Total Cost
Initial Cost of Software (year 1 only) for 20 users, includes production and test environment				
Optional Functionality- Controls Module				
Software Maintenance & Support				
Training Costs				
Implementation Costs				
Costs for Additional Professional Services				
TOTAL				

Total for years 1-3 above will be used for evaluation purposes and considered to be the “Base Solution” costs as referenced throughout the RFP document.

Offeror should clearly list optional items and any other charges associated with any item in their cost proposal. The Offeror should not include any technical information in the cost proposal.

Sign _____

Title _____